

**ETHICS REVIEW COMMISSION**  
**CHAPTER 2-7 CITY CODE**  
**COMPLAINT**

NAME OF PERSON(S) FILING COMPLAINT: Jason Hadavi, Deputy City Auditor,  
Office of the City Auditor

MAILING ADDRESS: PO Box 1088, Austin TX 78767-1088

PHONE NUMBER: 512-974-2469

EMAIL

ADDRESS: jason.hadavi@austintexas.gov

PLEASE FILE A SEPARATE COMPLAINT FORM FOR EACH PERSON  
COMPLAINED AGAINST.

NAME OF PERSON COMPLAINED AGAINST: Frank Rodriguez

CITY OFFICE, DEPARTMENT, COMMISSION: Mayor and Council

MAILING ADDRESS: [REDACTED]

PHONE NUMBER [IF KNOWN]: [REDACTED]

EMAIL ADDRESS [IF KNOWN] [REDACTED]

The Ethics Review Commission has jurisdiction to hear complaints alleging violation(s) of  
the following provisions:

- City Code, Chapter 2-1, Section 2-1-24 (City Boards, Conflict of Interest and Recusal)
- City Code, Chapter 2-2 (Campaign Finance)
- City Code, Chapter 2-7 (Ethics and Financial Disclosure), except for Article 6 (Anti-lobbying and Procurement)
- City Code, Chapter 4-8 (Regulation of Lobbyists)
- City Charter, Article III, Section 8 (Limits on Campaign Contributions and Expenditures)

PLEASE LIST EACH ALLEGED VIOLATION OF THE ABOVE CITY CODE AND  
CHARTER PROVISIONS SEPARATELY ON THE FOLLOWING PAGES.

I.

SECTION OF CHARTER OR ORDINANCE VIOLATED: City Code 2-7-63 (A) and 2-7-65 (C)

DATE OF ALLEGED VIOLATION: August 13, 2014

ACTIONS ALLEGED TO BE A VIOLATION:

We found evidence that on August 13, 2014, Mr. Rodriguez voted as Chair of the HLQL Commission to approve budget recommendations to submit to City Council that resulted in contracts awarded to the LHCF for Restore Rundberg and ACA enrollment. At this time, Mr. Rodriguez was Executive Director of the LHCF and had previously presented a proposal for Restore Rundberg in July 2014 on behalf of the LHCF. [REDACTED] [REDACTED] was also employed by the LHCF at the time.

WITNESSES OR EVIDENCE THAT WOULD BE PRESENTED: (see the table of contents attached)

CONTACT INFORMATION OF ANY PERSON(S), OTHER THAN THE PERSON COMPLAINED AGAINST, WHO IS IDENTIFIED BY NAME ABOVE OR IN ANY ATTACHMENTS AS INVOLVED IN THE ALLEGED INAPPROPRIATE CONDUCT: (Leave blank if inapplicable.)

NAME: \_\_\_\_\_

MAILING ADDRESS: \_\_\_\_\_

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II.

SECTION OF CHARTER OR ORDINANCE VIOLATED: 2-7-64 (A) and 2-7-64 (B)

DATE OF ALLEGED VIOLATION: August 13, 2014

ACTIONS ALLEGED TO BE A VIOLATION:

We found evidence that on August 13, 2014, Mr. Rodriguez voted as Chair of the HLQL Commission to approve budget recommendations to submit to City Council that resulted in contracts awarded to the LHCF for Restore Rundberg and ACA enrollment from the City of Austin. At this time, Mr. Rodriguez was Executive Director of the LHCF and had previously presented a proposal for Restore Rundberg in July 2014 on behalf of the LHCF. Mr. Rodriguez did not disclose his substantial interest in the LHCF to the HLQL Commission or the reasonable likelihood that the LHCF would be awarded contracts based on the HLQL Commissions' recommendations. In addition, Mr. Rodriguez did not file an affidavit as required by Chapter 171 or publicly disclose the nature and extent of his interest in the LHCF.

WITNESSES OR EVIDENCE THAT WOULD BE PRESENTED: :(see the table of contents attached)

CONTACT INFORMATION OF ANY PERSON(S), OTHER THAN THE PERSON COMPLAINED AGAINST, WHO IS IDENTIFIED BY NAME ABOVE OR IN ANY ATTACHMENTS AS INVOLVED IN THE ALLEGED INAPPROPRIATE CONDUCT: (Leave blank if inapplicable.)

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III.

SECTION OF CHARTER OR ORDINANCE VIOLATED: City Code 2-7-62 (A), 2-7-62 (H1), 2-7-62 (L) and 2-7-67 (B)

DATE OF ALLEGED VIOLATION: April 20, 2015 – December 31, 2016

ACTIONS ALLEGED TO BE A VIOLATION:

We found evidence that while employed as a Senior Policy Advisor for Mayor Adler, Mr. Rodriguez received over \$37,000 from the LHCF for consulting services. During this time period, Mr. Rodriguez assisted the LHCF to secure the renewal of contracts through the City of Austin including Restore Rundberg and ACA enrollment as part of his consulting services. A portion of the consulting payments received by Mr. Rodriguez came directly from funding from the City of Austin to the LHCF for Restore Rundberg and ACA enrollment. The remuneration received by Mr. Rodriguez from the LHCF came less than 12 months after Mr. Rodriguez resigned as Chair of the HLQL Commission. [REDACTED] [REDACTED] as also employed and received compensation from the LHCF as Chief Administrative Officer during this time period.

WITNESSES OR EVIDENCE THAT WOULD BE PRESENTED: :(see the table of contents attached)

CONTACT INFORMATION OF ANY PERSON(S), OTHER THAN THE PERSON COMPLAINED AGAINST, WHO IS IDENTIFIED BY NAME ABOVE OR IN ANY ATTACHMENTS AS INVOLVED IN THE ALLEGED INAPPROPRIATE CONDUCT: (Leave blank if inapplicable.)

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IV.

SECTION OF CHARTER OR ORDINANCE VIOLATED: City Code 2-7-62 (I)

DATE OF ALLEGED VIOLATION: April 20, 2015 – December 31, 2016

ACTIONS ALLEGED TO BE A VIOLATION:

We found evidence that while employed as a Senior Policy Advisor for Mayor Adler, Mr. Rodriguez advocated to Mayor Adler for renewal of the Restore Rundberg and ACA enrollment contracts for the LHCF. During the same time period, Mr. Rodriguez received payment from the LHCF for consulting services and [REDACTED] was employed by the LHCF. We also found evidence that Mr. Rodriguez provided the LHCF access to Mayor Adler and City Council, advocated for appointments of LHCF staff, provided introductions to business/community leaders and provided information and potential contract opportunities to the LHCF.

WITNESSES OR EVIDENCE THAT WOULD BE PRESENTED: :(see the table of contents attached)

CONTACT INFORMATION OF ANY PERSON(S), OTHER THAN THE PERSON COMPLAINED AGAINST, WHO IS IDENTIFIED BY NAME ABOVE OR IN ANY ATTACHMENTS AS INVOLVED IN THE ALLEGED INAPPROPRIATE CONDUCT: (Leave blank if inapplicable.)

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V.

SECTION OF CHARTER OR ORDINANCE VIOLATED: City Code 2-7-62 (J)

DATE OF ALLEGED VIOLATION: April 20, 2015 – December 31, 2016

ACTIONS ALLEGED TO BE A VIOLATION:

We found evidence that while employed by the City of Austin, Mr. Rodriguez performed consulting services for the LHCF including drafting proposals and facilitating / organizing LHCF events using the City of Austin's time and resources. During this time period, Mr. Rodriguez received compensation from the LHCF for consulting services performed on behalf of the LHCF.

WITNESSES OR EVIDENCE THAT WOULD BE PRESENTED: :(see the table of contents attached)

CONTACT INFORMATION OF ANY PERSON(S), OTHER THAN THE PERSON COMPLAINED AGAINST, WHO IS IDENTIFIED BY NAME ABOVE OR IN ANY ATTACHMENTS AS INVOLVED IN THE ALLEGED INAPPROPRIATE CONDUCT: (Leave blank if inapplicable.)

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VI.

SECTION OF CHARTER OR ORDINANCE VIOLATED: City Code 2-7-64 (C)

DATE OF ALLEGED VIOLATION: April 20, 2015 – October 31, 2017

ACTIONS ALLEGED TO BE A VIOLATION:

We found evidence that Mr. Rodriguez failed to disclose to Mayor Adler or Mayor Adler's Chiefs of Staff that he received compensation from the LHCF for consulting services in 2015 and 2016 while Mr. Rodriguez was employed by the City of Austin. Mr. Rodriguez assisted the LHCF to secure the renewal of contracts through the City of Austin for Restore Rundberg and ACA enrollment during this time period. [REDACTED] [REDACTED] was also employed by the LHCF during this time period.

WITNESSES OR EVIDENCE THAT WOULD BE PRESENTED: :(see the table of contents attached)

CONTACT INFORMATION OF ANY PERSON(S), OTHER THAN THE PERSON COMPLAINED AGAINST, WHO IS IDENTIFIED BY NAME ABOVE OR IN ANY ATTACHMENTS AS INVOLVED IN THE ALLEGED INAPPROPRIATE CONDUCT: (Leave blank if inapplicable.)

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VII.

SECTION OF CHARTER OR ORDINANCE VIOLATED: City Code 2-7-72 (E)

DATE OF ALLEGED VIOLATION: April 29, 2016 and May 1, 2017

ACTIONS ALLEGED TO BE A VIOLATION:

We found evidence that Mr. Rodriguez did not adequately specify on his sworn Statement of Financial Information for 2015 and 2016 his compensation from the LHCF for consulting services received during the April 2015 – December 2016 time period.

WITNESSES OR EVIDENCE THAT WOULD BE PRESENTED: :(see the table of contents attached)

CONTACT INFORMATION OF ANY PERSON(S), OTHER THAN THE PERSON COMPLAINED AGAINST, WHO IS IDENTIFIED BY NAME ABOVE OR IN ANY ATTACHMENTS AS INVOLVED IN THE ALLEGED INAPPROPRIATE CONDUCT: (Leave blank if inapplicable.)

NAME: \_\_\_\_\_

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[IF MORE ROOM IS NECESSARY, PLEASE CONTINUE ON A BLANK PAGE  
USING THE SAME FORMAT]

ALL THE STATEMENTS AND INFORMATION IN THIS COMPLAINT ARE TRUE  
AND FACTUAL TO THE BEST OF MY KNOWLEDGE.

DATE: \_\_\_\_\_

\_\_\_\_\_  
COMPLAINANT'S SIGNATURE

\_\_\_\_\_  
PRINT NAME

STATE OF TEXAS

COUNTY OF TRAVIS

This instrument was acknowledged, sworn to and subscribed before me by

\_\_\_\_\_  
On the \_\_\_\_\_ day of \_\_\_\_\_, \_\_\_\_\_, to certify which  
witness my hand and official seal.

\_\_\_\_\_  
Notary Public in and for the State of Texas

\_\_\_\_\_  
Typed or Printed Name of Notary

THIS FORM MUST BE SUBMITTED TO THE OFFICE OF THE CITY CLERK.



## Independent Investigation Report

### Conflicts of Interest Allegations Against Frank Rodriguez

Presented to:

Office of the City Auditor



July 20, 2018

*Privileged & Confidential*





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## I. Scope of Work

HSSK, LLC (“HSSK”) and The Gober Group PLLC (“The Gober Group”) were retained by the Office of the City Auditor to conduct an independent investigation into certain allegations received by the Office of the City Auditor involving Frank Rodriguez (“Mr. Rodriguez”).<sup>1</sup> We were asked to evaluate whether Mr. Rodriguez had a conflict of interest while serving as the Chair of the Hispanic/Latino Quality of Life Resource Advisory Commission (“HLQL Commission”) and whether Mr. Rodriguez violated any provisions of the City of Austin Code of Ordinances (“City Code”). Specifically, it was alleged that Mr. Rodriguez failed to properly handle a conflict of interest during an August 2014 HLQL Commission vote. The HLQL Commission voted to recommend that the Austin City Council (“City Council”) include funding for two projects in its 2014-2015 fiscal year budget which resulted in two contracts totaling \$275,000 being awarded to the Latino HealthCare Forum (“LHCF”), a non-profit organization founded by and, at the time, employing and compensating Mr. Rodriguez.

During the course of our investigation into the 2014 conflict of interest allegations against Mr. Rodriguez and after discussing our preliminary findings with the Office of the City Auditor, HSSK and The Gober Group were asked to expand the scope of the investigation into possible conflicts of interest or other City Code violations by Mr. Rodriguez related to additional contracts awarded to the LHCF totaling \$750,000 during the 2015 – 2017 time period when Mr. Rodriguez was employed by the City of Austin as a Senior Policy Advisor to Mayor Steve Adler (“Mayor Adler”).

We have made our best effort, given the available time and resources, to conduct an impartial, independent and extensive investigation of the conflicts of interest allegations during the 2014 – 2017 time period. The following work steps were performed as part of our independent investigation:

- Reviewed and analyzed documents gathered by the Office of the City Auditor and information produced by the City of Austin resulting from Public Information Requests (“PIRs”) related to the LHCF and Mr. Rodriguez;
- Requested and reviewed additional documents from the City of Austin including over 19,000 emails for Mr. Rodriguez, LHCF employees, City Councilmembers and staff members from Austin Public Health (“APH”), as well as contracts between the LHCF and the City of Austin and Mr. Rodriguez’s employment records;<sup>2</sup>
- Requested and reviewed certain information identified on Mr. Rodriguez’s computer issued by the City of Austin related to the LHCF;
- Requested and reviewed documents provided by the LHCF including contracts and agreements with Mr. Rodriguez, Mr. Rodriguez’s compensation and W2/1099 tax records, LHCF financial records and LHCF meeting minutes;

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<sup>1</sup> City Code requires the City Auditor to hire an external party to investigate allegations of City Code violations by a member of City Council, a member of City Council’s direct staff, or the City Manager. *City Code*: § 2-3-5 (K)

<sup>2</sup> Austin Public Health was previously the Health and Human Services Department.



- Obtained and reviewed publicly available information related to Mr. Rodriguez and the LHCF including but not limited to Form 990 tax filings, City Council and HLQL Commission meeting minutes, and information from the Texas Secretary of State website;
- Conducted interviews with Frank Rodriguez, Jill Ramirez, Mayor Adler, current and former Chiefs of Staff for Mayor Adler, the Interim Director of APH and a former Manager for APH.

## II. Summary of Findings

A summary of findings of the independent investigation into the conflicts of interest allegations and other potential City Code violations by Mr. Rodriguez are outlined below:

- On August 13, 2014, Mr. Rodriguez, serving as Chair of the HLQL Commission, voted to approve a list of budget recommendations for the City of Austin's 2014-2015 fiscal year budget which resulted in contracts for Affordable Care Act enrollment ("ACA enrollment") and a Restore Rundberg feasibility study totaling \$275,000 awarded to the LHCF, a non-profit organization founded by and, at the time, employing and compensating Mr. Rodriguez. Mr. Rodriguez failed to recuse himself from the vote and also failed to disclose to the HLQL Commission that he had previously presented a proposal on behalf of the LHCF to the Restore Rundberg committee to perform the feasibility study and that the LHCF was one of only two agencies in Austin able to conduct ACA enrollment.
- Mr. Rodriguez resigned from both the LHCF and the HLQL Commission to work for the City of Austin as a Senior Policy Advisor for Mayor Adler in early 2015 and became a city employee on April 20, 2015. Mr. Rodriguez received \$37,110 in payments from the LHCF for consulting services in 2015 and 2016 while employed by the City of Austin. A portion of the consulting payments received by Mr. Rodriguez in 2015 were based on a percentage of the contract amount awarded to the LHCF by the City of Austin, as well as other entities and were received prior to Mr. Rodriguez entering into a consulting agreement with LHCF in December 2015.
- [REDACTED] Linda Smith, received over \$275,000 during the 2014 – 2017 time period from the LHCF as Chief Administrative Officer.
- While employed as a Senior Policy Advisor for Mayor Adler, Mr. Rodriguez assisted the LHCF in securing additional contracts from the City of Austin by advocating to Mayor Adler, City Councilmembers and senior staff within APH for the renewal of the ACA enrollment and Restore Rundberg contracts, as well as by drafting and/or editing the proposals associated with the renewal of those contracts. Notable examples include:
  - August 12, 2015 email from Mr. Rodriguez to LHCF staff containing a proposal prepared by Mr. Rodriguez for the renewal of the Restore Rundberg contract with a subject line "Send this in to Greg and the Mayor;"
  - September 18, 2015 email from Mr. Rodriguez to Mayor Adler in which Mr. Rodriguez discusses the renewal of the LHCF's ACA enrollment contract including the disparate treatment that LHCF believes it was receiving from APH compared to another community organization because APH told the LHCF that it had to go through an RFP process. The email also discusses the benefits of the LHCF's service model, as well as an "understanding" between Mr. Rodriguez and the previous APH Director that the LHCF's \$200,000 ACA enrollment contract from the prior year was a "multi-year award;"
  - August 21, 2016 email from Mr. Rodriguez to Mayor Adler with an attached list of funding requests from the HLQL Commission including \$300,000 related to ACA enrollment "for both Latino Health[care] Forum and Foundation Communities" in which Mr. Rodriguez communicated that he needed to vet the



funding requests with Councilmember Renteria and that the “list should probably come from him after he approves.” Mr. Rodriguez also sent a subsequent email to Mayor Adler on September 11, 2016 with the top priority funding requests from the HLQL Commission, the largest of which was \$300,000 for ACA enrollment, that stated “I simply went down their \$1 million list and cut it off at \$700k.”

- Mr. Rodriguez assisted the LHCF while serving as a Senior Policy Advisor including providing preferential treatment to the LHCF over at least one other community organization competing for the same funding from the City of Austin by:
  - Providing the LHCF access to Mayor Adler and City Council;
  - Advocating for LHCF staff appointments on committees and organizations;
  - Facilitating resources to be provided to the LHCF including use of City of Austin facilities for enrollment and promotional events;
  - Assisting the LHCF to organize joint events with the City of Austin;
  - Providing introductions for LHCF staff to business/community leaders; and
  - Providing information to LHCF personnel including Mayor Adler’s proposed budget review process and potential contract opportunities.
- Mr. Rodriguez spent city time and resources while employed by the City of Austin on LHCF related business including regular meetings with LHCF staff and affiliated individuals, as well as a technology solutions start-up, emPoder, founded by Mr. Rodriguez and the LHCF’s Chief Technology Officer.
- Although numerous fiscal control issues were identified through annual reviews conducted by APH staff related to the LHCF including payments to the “former Executive Director,” as well as performance related concerns such as a disparity in ACA enrollment compared to another community organization providing similar services, the LHCF continued to receive funding from the City of Austin administered by the APH during Mr. Rodriguez’s tenure as a Senior Policy Advisor to Mayor Adler. Mr. Rodriguez’s efforts to secure contract extensions for the LHCF occurred during the pendency of a corrective action plan for the LHCF imposed by APH.
- HSSK identified several key emails that appear to have been deleted from Mr. Rodriguez’s City of Austin email account prior to our investigation including the September 18, 2015 and August 21, 2016 emails to Mayor Adler in which Mr. Rodriguez advocates for the renewal of LHCF contracts.
- Mr. Rodriguez did not disclose to the HLQL Commission, City Councilmembers or senior staff within APH the conflict of interest related to his role as Executive Director of the LHCF while serving as Chair of the HLQL Commission in 2014 and participating in a vote to recommend funding for ACA Enrollment and a Restore Rundberg feasibility study.
- Mr. Rodriguez did not disclose to Mayor Adler or Mayor Adler’s Chiefs of Staff that he was continuing to be compensated by the LHCF for consulting services while employed by the

City of Austin as a Senior Policy Advisor for Mayor Adler and working directly on LHCF related budget items in 2015 and 2016.<sup>3</sup>

- Mr. Rodriguez also failed to adequately specify on his sworn Statement of Financial Information filed for 2015 and 2016 the consulting payments received from the LHCF which were in excess of the \$5,000 minimum threshold in both years, requiring disclosure under Section 2 of the Statement of Financial Information and § 2-7-72 (E-2) of the City Code.
- In March 2017, Mr. Rodriguez filed a sworn Local Government Officer Conflicts Disclosure Statement to disclose taxable income received from the LHCF by [REDACTED] Mr. Rodriguez did not disclose the compensation that he received from the LHCF in 2015 and 2016 for consulting services.
- Mr. Rodriguez's actions related to the LHCF while Chair of the HLQL Commission and as a Senior Policy Advisor for Mayor Adler appear to have violated several City Code provisions. HSSK and The Gober Group identified the following provisions of City Code that appear to have been violated by Mr. Rodriguez:<sup>4,5</sup>

Date	Description	City Code Violations
<b>Executive Director of LHCF and Member of HLQL Commission – 12/2013 – 3/2015</b>		
8/13/2014	As Chair of the HLQL Commission, Mr. Rodriguez voted to approve budget recommendations that resulted in contracts awarded to the LHCF for Restore Rundberg and ACA enrollment (Mr. Rodriguez had previously presented a proposal for Restore Rundberg in July 2014 on behalf of the LHCF). [REDACTED] was also employed by the LHCF at the time.	§ 2-7-63 (A) § 2-7-64 (A) § 2-7-64 (B) § 2-7-65 (C)
<b>City of Austin Employee – 4/2015 – 11/2017</b>		
04/2015 – 12/2016	While employed as a Senior Policy Advisor for Mayor Adler, Mr. Rodriguez received over \$37,000 from the LHCF for consulting services.	§ 2-7-62 (A) § 2-7-62 (H1) § 2-7-62 (L) § 2-7-67 (B)
9/18/2015; 8/21/2016; 9/11/2016	Mr. Rodriguez advocated to Mayor Adler for renewal of the Restore Rundberg and ACA enrollment contracts for the LHCF.	§ 2-7-62 (I)
04/2015 – 12/2016	Mr. Rodriguez provided the LHCF access to Mayor Adler and City Council, advocated for appointments of LHCF staff, provided	§ 2-7-62 (I)

<sup>3</sup> Mr. Rodriguez indicated in an interview with HSSK and the Gober Group that he recalls disclosing in an email to the Mayor's Chief of Staff about his "on-going relationship" with the LHCF. Mr. Rodriguez also indicated that he recalls two conversations with Mayor Adler concerning his "on-going work" with the LHCF. HSSK and the Gober Group requested that Mr. Rodriguez provide documentation to support his statements regarding disclosure to Mayor Adler or his Chief of Staff. As of the date of this report, Mr. Rodriguez has not provided documentation to support these statements and these statements were not corroborated through interviews of Mayor Adler and his Chiefs of Staff conducted by HSSK.

<sup>4</sup> This report was filed with the city clerk on July 20, 2018. According to City Code, a complaint alleging a violation of a provision within the jurisdiction of the Ethics Review Commission shall specify each code section or charter provision alleged to have been violated and must be filed with the city clerk not later than the second anniversary of the date of the action alleged as a violation. *City Code: § 2-7-41 (B)(C)*

<sup>5</sup> Potential violations while Mr. Rodriguez served as Chair of the HLQL in August 2014 are outside of the two-year statute of limitations.



	introductions to business/community leaders and provided information and potential contract opportunities to the LHCF.	
04/2015 – 12/2016	Mr. Rodriguez performed consulting services for the LHCF including drafting proposals and facilitating / organizing LHCF events using the City of Austin’s time and resources.	§ 2-7-62 (J)
04/2015 – 10/2017	██████████ was employed and compensated by the LHCF as its Chief Administrative Officer.	§ 2-7-62 (A)
04/2015 – 10/2017	Mr. Rodriguez failed to disclose to Mayor Adler or Mayor Adler’s Chiefs of Staff that he received compensation from the LHCF for consulting services in 2015 and 2016.	§ 2-7-64 (C)
4/29/2016; 5/1/2017	Mr. Rodriguez did not adequately specify on his sworn Statement of Financial Information for 2015 and 2016 his compensation from the LHCF for consulting services.	§ 2-7-72 (E)



### III. Background

#### Latino HealthCare Forum

The LHCF is a non-profit organization incorporated in 2011 for the purpose of educating Austin residents, particularly Spanish-speaking residents, regarding the Affordable Care Act and to provide assistance to residents with marketplace enrollment. Mr. Rodriguez was one of the founders of LHCF and served as the Executive Director until April 2015.<sup>6</sup> The LHCF's key employees are listed in the table below.

Latino HealthCare Forum Key Employees		
Employee	Position	Time Period
Frank Rodriguez	Executive Director	6/2011 - 4/2015
Jill Ramirez	Educator/CEO	6/2011 - Present; 4/2015 - Present (CEO)
Linda Smith	Chief Administrative Officer	6/2011 - Present
Sam Coronado	Illustrator/Graphic Design	6/2011 - 11/2013
Hector Torres	Chief Technology Officer	11/2012 - 3/2016
Sal Valdez	Chief Operating Officer	11/2014 - 8/2017
Isabel Lopez-Aguilar	Program Coordinator	11/2014 - Present

The LHCF receives funding from multiple public and private entities including the City of Austin, the St. David's Foundation, Sendero Health Plans ("Sendero") and federal navigator grants for ACA enrollment.<sup>7</sup> According to Form 990 tax returns filed, the LHCF received \$2,636,187 in contributions and grants during the 2012 – 2016 time period.<sup>8</sup>

LHCF Revenues and Expenses for 2012 - 2016						
	2012	2013	2014	2015	2016	Total
<b><u>Revenues</u></b>						
Contributions and Grants	\$ 1,100	\$ 332,015	\$ 711,454	\$ 993,108	\$ 598,510	\$2,636,187
Other Revenue	-	-	-	6,045	4,261	10,306
<b>Total Revenue</b>	<b>\$ 1,100</b>	<b>\$ 332,015</b>	<b>\$ 711,454</b>	<b>\$ 999,153</b>	<b>\$ 602,771</b>	<b>\$2,646,493</b>
<b><u>Expenses</u></b>						
Salaries and Benefits	\$ -	\$ 119,426	\$ 565,248	\$ 762,755	\$ 453,106	\$1,900,535
Other Expenses	-	109,035	198,125	249,473	234,242	790,875
<b>Total Expenses</b>	<b>\$ -</b>	<b>\$ 228,461</b>	<b>\$ 763,373</b>	<b>\$1,012,228</b>	<b>\$ 687,348</b>	<b>\$2,691,410</b>
<b>Net Profit</b>	<b>\$ 1,100</b>	<b>\$ 103,554</b>	<b>\$ (51,919)</b>	<b>\$ (13,075)</b>	<b>\$ (84,577)</b>	<b>\$ (44,917)</b>

<sup>6</sup> See Exhibit 1 (Meeting Minutes of the LHCF Board of Directors).

<sup>7</sup> Sendero is a non-profit corporation that provides comprehensive healthcare coverage to eligible Central Texas residents. Sendero was created in 2011 by Central Health and has been funded by Central Health since its inception. Mr. Rodriguez served as a founding board member for Sendero from 2011 – 2013. See Exhibit 2.

<sup>8</sup> See Exhibit 3 (LHCF Form 990s for 2012 – 2016).





While the majority of LHCF's funding relates to ACA enrollment, LHCF also received funding from the City of Austin for other community-based projects such as Restore Rundberg.<sup>9,10</sup> As of the date of this report, the LHCF has been awarded \$1,178,200 in contracts through the City of Austin as detailed below.<sup>11</sup>

City of Austin Contracts with Latino HealthCare Forum				
Contract Number	Contract Description	Contract Term	Contract Amount	Payments
PO 9100 13082306076	Implementation Year 1 Chip Community Outreach	8/23/2013 - 11/15/2013	\$ 2,500	\$ 2,500
CT 9100 14112400111	ACA Enrollment - Secure Your Health Program	10/1/2014 - 9/30/2015	200,000	200,000
CT 9100 14122600186	Community Health Improvement Plan for Rundberg Area	10/1/2014 - 9/30/2015	75,000	75,000
NG150000052	East Austin Health & Wellness Center Engagement Program	2/15/2015 - 9/30/2015	25,700	25,700
DO 9100 15030209445	ACA Enrollment - Secure Your Health Program	10/1/2015 - 9/30/2016	200,000	200,000
NG160000005	Restore Rundberg Social Services Program	2/1/2016 - 1/31/2017	175,000	175,000
DO 9100 16022608723	ACA Enrollment - Secure Your Health Program	10/1/2016 - 9/30/2017	200,000	200,000
NG160000022	Rundberg Community Health Initiative (RCHI)	11/1/2016 - 9/30/2017	175,000	175,000
DO 9100 17012306168	ACA Enrollment - Secure Your Health Program	10/1/2017 - 9/30/2018	125,000	-
NG170000011				
DO 9100 17042410137				
DO 9100 17113003504				
<b>Total</b>			<b>\$1,178,200</b>	<b>\$1,053,200</b>

### Hispanic/Latino Quality of Life Resource Advisory Commission

On December 10, 2013, Mr. Rodriguez applied for a position on the HLQL Commission and was nominated by City Council member Laura Morrison on December 12, 2013.<sup>12</sup> The purpose of the HLQL Commission is to advise the City Council on issues relating to the quality of life of Austin's Hispanic/Latino community, as well as to recommend programs and policies.<sup>13</sup> Mr. Rodriguez served as

<sup>9</sup> Restore Rundberg is a project started in 2012 to restore and revitalize the Rundberg neighborhood with the goal of developing innovative solutions to crime and complementary social services. The project includes partnerships between neighborhoods, community government, higher education, public safety, researchers and stakeholder groups.

<sup>10</sup> LHCF board minutes dated 8/21/2015 indicate that funding from Sendero for fiscal year ended 9/2015 was approximately \$600,000 which was reduced to \$300,000 for fiscal year ended 9/2016 (see Exhibit 1). In addition, the LHCF received federal navigator grants for ACA enrollment of \$190,470 in 2015 and \$254,053 in 2016. Source: <https://www.cms.gov/CCIIO/Programs-and-Initiatives/Health-Insurance-Marketplaces/assistance.html>

<sup>11</sup> See Exhibit 4 (LHCF contracts with the City of Austin).

<sup>12</sup> See Exhibit 5 (Mr. Rodriguez's HLQL Commission Application and nomination).

<sup>13</sup> <https://www.austintexas.gov/content/hispaniclatino-quality-life-resource-advisory-commission>.



both the Executive Director of the LHCF and as a member and Chair of the HLQL Commission during the December 2013 – March 2015 time period.

#### **Mr. Rodriguez's Employment with the City of Austin**

On April 20, 2015, Mr. Rodriguez started employment with the City of Austin as a Senior Policy Advisor for Mayor Adler.<sup>14</sup> Mr. Rodriguez previously resigned from the HLQL Commission in March 2015 and his last day as the Executive Director of the LHCF was April 17, 2015 where he was replaced by Jill Ramirez ("Ms. Ramirez"), who was named CEO by the LHCF Board of Directors on May 1, 2015.<sup>15</sup> Ms. Ramirez had previously replaced Mr. Rodriguez on the HLQL Commission after she was nominated and submitted an application on March 23, 2015.<sup>16</sup> As a Senior Policy Advisor to Mayor Adler, Mr. Rodriguez's responsibilities were to "lead Mayoral priority initiatives, make recommendations and develop action plans for meeting objectives," as well as serve "as the Mayor's Office liaison to reporting departments, community organizations, business community and other public and private agencies."<sup>17</sup>

In an email from Mr. Rodriguez to the HLQL Commission on March 10, 2015 announcing his resignation from the commission, Mr. Rodriguez indicated that he "will start assisting the Mayor as a senior policy advisor on a volunteer basis."<sup>18</sup> However, City of Austin employment records for Mr. Rodriguez indicate that Mr. Rodriguez was paid on a full-time basis starting on April 20, 2015 with a base salary of \$39,166 which was increased in December 2015 to \$52,000 based on "an increase in responsibilities."<sup>19</sup>

#### **Austin American Statesman Investigation**

On February 6, 2017, Mr. Rodriguez was informed by the Communications Director for Mayor Adler, that Nolan Hicks from the Austin American Statesman (the "Statesman") filed a public information request ("PIR") with APH "requesting information on social services contracts with the Latino HealthCare Forum and the process that led to the contracts."<sup>20</sup> The Statesman interviewed Mayor Adler in August 2017 regarding an overhaul by Mayor Adler as to "how the City Council incorporates requests from its Quality of Life commissions into the budget."<sup>21</sup> Mr. Rodriguez announced his resignation on October 17, 2017 citing health reasons according to a Statesman article, and his last day of employment with the City of Austin was November 3, 2017.<sup>22,23</sup> On October 27, 2017 following a seven-month investigation, the Statesman released an article detailing over \$1 million received by the LHCF for City of Austin "no-bid contracts" that "stem from [Mr.] Rodriguez's budget requests."<sup>24</sup>

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<sup>14</sup> See Exhibit 6 (Mr. Rodriguez's employment records from the City of Austin).

<sup>15</sup> See Exhibit 1 (LHCF Board minutes) and Exhibit 7 (Email from Mr. Rodriguez to Jane Rivera dated 3/10/15).

<sup>16</sup> See Exhibit 8 (Jill Ramirez HLQL Commission Application).

<sup>17</sup> See Exhibit 9 (Senior Policy Advisor – Job Description.doc recovered from Mr. Rodriguez's computer).

<sup>18</sup> See Exhibit 7 (Email from Mr. Rodriguez to Jane Rivera dated 3/10/15).

<sup>19</sup> See Exhibit 10 (Mr. Rodriguez's employment records with the City of Austin).

<sup>20</sup> See Exhibit 11 (Email from Jason Stanford to Mr. Rodriguez dated 2/6/17).

<sup>21</sup> <https://www.mystatesman.com/news/local-govt--politics/adler-aide-nonprofit-benefited-from-lax-oversight-city-contracts/t2jUP8T4UvMnEFoL7EPzXP/>

<sup>22</sup> <http://cityhall.blog.statesman.com/2017/10/18/citing-health-problems-adlers-senior-policy-adviser-steps-down/>

<sup>23</sup> See Exhibit 12 (Mr. Rodriguez's employment records with the City of Austin).

<sup>24</sup> <https://www.mystatesman.com/news/local-govt--politics/adler-aide-nonprofit-benefited-from-lax-oversight-city-contracts/t2jUP8T4UvMnEFoL7EPzXP/>

## IV. Investigative Findings

### Mr. Rodriguez Voted as Chair of HLQL for Funding Awarded to LHCF

At an HLQL Commission meeting on August 13, 2014, Mr. Rodriguez as Chair of the HLQL Commission along with 3 other commissioners voted 4-0 to “approve and forward the budget priority recommendations matrix to the City Council for possible inclusion in the upcoming 2014-2015 budget...”<sup>25</sup> The total budget priority recommendations approved by the HLQL Commission were \$6,846,136 which included \$500,000 for ACA enrollment and \$75,000 for a feasibility study of a community health and wellness center to be developed in the Rundberg neighborhood.<sup>26</sup> On August 18, 2014, Mr. Rodriguez, as Chair of the HLQL Commission, sent a memorandum to the Mayor and City Council with 36 attached recommendations approved by HLQL Commission for the budget totaling \$6,846,136 including the \$500,000 for ACA enrollment and \$75,000 for the Rundberg feasibility study.<sup>27,28</sup>

On September 8, 2014 during the City Council budget adoption, Councilmember Mike Martinez addressed the \$6.8 million in recommendations from the HLQL Commission including two one-time expenditures “of significant importance” which were identified as \$500,000 for enrollment in the ACA’s insurance marketplace and \$75,000 for a feasibility study for a health and wellness center in the Rundberg area.<sup>29</sup> The City Council ultimately approved \$375,000 of the HLQL Commission recommendations including \$300,000 for ACA enrollment and \$75,000 for the Rundberg feasibility study.<sup>30</sup>

Following approval by City Council, the City of Austin acting through APH awarded a \$200,000 contract to the LHCF for ACA enrollment during the October 1, 2014 – September 30, 2015 time period which was executed by Mr. Rodriguez as Executive Director of the LHCF.<sup>31,32</sup> APH also awarded the \$75,000 approved by City Council for the Restore Rundberg feasibility study to the LHCF with a contract term from October 1, 2014 – September 30, 2015. This contract was also executed by Mr. Rodriguez as Executive Director of the LHCF.<sup>33</sup>

While the HLQL Commission budget recommendations approved on August 13, 2014 did not include specific vendors that would receive the funding, Mr. Rodriguez had previously represented during public meetings of the Restore Rundberg group that the LHCF would conduct the feasibility study. On May 22, 2014, Mr. Rodriguez informed the Restore Rundberg group that the LHCF “has conducted a needs assessment for the Dove Springs area and is willing to assist with the Restore Rundberg assessment.”<sup>34</sup>

<sup>25</sup> See Exhibit 13 (HLQL Commission meeting minutes dated 8/13/14).

<sup>26</sup> See Exhibit 13 (HLQL Commission meeting minutes dated 8/13/14).

<sup>27</sup> See Exhibit 14 (Memorandum from Mr. Rodriguez to Mayor and City Council dated 8/18/14).

<sup>28</sup> Lee Leffingwell was Mayor for the City of Austin in August 2014.

<sup>29</sup> See Exhibit 15 (City Council Budget Adoption Transcript for 9/8/14 and 9/9/14).

<sup>30</sup> See Exhibit 15 (City Council Budget Adoption Transcript for 9/8/14 and 9/9/14).

<sup>31</sup> See Exhibit 4 (contract CT-9100-14112400111).

<sup>32</sup> The remaining \$100,000 for ACA enrollment was awarded to Foundation Communities, another Austin area healthcare navigator.

<sup>33</sup> See Exhibit 4 (contract CT-9100-14122600186).

<sup>34</sup> See Exhibit 16 (Restore Rundberg Community Meeting Minutes).



Subsequently on July 10, 2014, Mr. Rodriguez “presented a proposal to conduct a needs assessment, data review, and stakeholder engagement program to address the Healthcare disparities of the greater Rundberg area” that would “mirror the work done in the Dove Springs area.”<sup>35</sup> Mr. Rodriguez followed up with the Restore Rundberg group on January 22, 2015 indicating that “the project is formally approved by the City of Austin” with a total budget of \$95,000 including \$75,000 from the City of Austin and \$20,000 from the St. David’s Foundation.<sup>36</sup> In addition, a review of email correspondence between Mr. Rodriguez and APH personnel indicates that Mr. Rodriguez was having discussions with APH for funding of a community needs assessment for the Restore Rundberg project since July 2014.<sup>37</sup>

On September 9, 2014, the same day that City Council adopted the 2014-2015 budget including the \$375,000 from the HLQL Commission budget recommendations, Mr. Rodriguez emailed APH Director Carlos Rivera (“Mr. Rivera”) stating that “the Restore Rundberg organization brought forward the \$75,000 proposal for their health initiative” and “will be contacting you for the next steps.”<sup>38</sup> Mr. Rodriguez also stated that “several community advocates requested funding for the ACA marketplace outreach and enrollment...Council approved \$300,000...both of these proposals are targeted to Latinos.”<sup>39</sup>

HSSK interviewed two APH staff members (one current and one former) who both indicated that the LHCF and Foundation Communities were the only agencies in Austin able to conduct ACA enrollment.<sup>40,41</sup> The two agencies each received funding from the \$300,000 approved budget for ACA enrollment with \$200,000 awarded to the LHCF and \$100,000 to Foundation Communities.<sup>42</sup> It was also communicated to HSSK by APH staff members that the decision to allocate the bulk of the ACA enrollment funding to the LHCF was made at the “Director level” by Mr. Rivera.<sup>43</sup>

As Chair of the HLQL Commission, Mr. Rodriguez participated in the August 13, 2014 vote and approval of the HLQL Commission’s budget recommendations which resulted in \$375,000 in approved funding by City Council, of which \$275,000 was awarded to the LHCF. Mr. Rodriguez failed to recuse himself from the vote, as well as failed to disclose to the HLQL Commission of the intention and reasonable likelihood that the LHCF would be selected as the vendor to perform the services upon approval. In addition, Mr. Rodriguez had discussions with the APH Director to help ensure that the LHCF was awarded contracts for ACA enrollment and the Rundberg feasibility study. The timeline below summarizes the key events related to the approval of the Restore Rundberg and ACA enrollment funding while Mr. Rodriguez served as Chair of the HLQL Commission.

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<sup>35</sup> See Exhibit 16 (Restore Rundberg Community Meeting Minutes).

<sup>36</sup> See Exhibit 16 (Restore Rundberg Community Meeting Minutes).

<sup>37</sup> See Exhibit 17 (Emails between Mr. Rodriguez and APH personnel in July 2014).

<sup>38</sup> See Exhibit 18 (Email from Mr. Rodriguez to Carlos Rivera dated 9/9/14).

<sup>39</sup> See Exhibit 18 (Email from Mr. Rodriguez to Carlos Rivera dated 9/9/14).

<sup>40</sup> See Exhibit 19 (Interview Transcript of APH Interim Director dated 3/13/18).

<sup>41</sup> See Exhibit 20 (Interview Transcript of former APH Manager dated 3/13/18).

<sup>42</sup> See Exhibit 21 (City Council Budget Adoption Transcript for 9/8/15).

<sup>43</sup> See Exhibits 19 and 20 (Interview Transcripts of APH Interim Director and former APH Manager dated 3/13/18).



Date	Description
12/12/2013	Mr. Rodriguez nominated by City Council to serve on the HLQL Commission.
5/22/2014	As Executive Director of the LHCF, Mr. Rodriguez informed the Restore Rundberg group that the LHCF is willing to assist with the Restore Rundberg assessment.
7/10/2014	As Executive Director of the LHCF, Mr. Rodriguez presented a proposal to the Restore Rundberg group for the LHCF to conduct a needs assessment.
8/13/2014	As Chair of the HLQL Commission, Mr. Rodriguez voted to approve the budget recommendations to submit to City Council including \$75,000 for a needs assessment for the Rundberg neighborhood and \$500,000 for ACA enrollment.
9/9/2014	City Council approved funding of \$75,000 for a feasibility study in the Rundberg area and \$300,000 for ACA enrollment. On the same day, Mr. Rodriguez emailed the APH Director regarding the \$75,000 for Restore Rundberg and \$300,000 for ACA enrollment indicating that these initiatives “are targeted to Latinos.”
10/30/2014	As Executive Director of the LHCF, Mr. Rodriguez signed the contracts between the LHCF and APH for \$200,000 for ACA enrollment and \$75,000 to conduct a community health assessment for the Rundberg area.

**Mr. Rodriguez Received Consulting Payments from LHCF While Working for the City of Austin**

As described previously, Mr. Rodriguez resigned from the HLQL Commission in March 2015 and from the LHCF in April 2015 to work for the City of Austin as a Senior Policy Advisor for Mayor Adler. However, Mr. Rodriguez continued to receive compensation from the LHCF as a consultant after he resigned as Executive Director. According to Mr. Rodriguez’s 1099 tax records and payment records provided by the LHCF, Mr. Rodriguez received \$17,234.50 in 2015 and \$19,875.00 in 2016 for consulting services from the LHCF.<sup>44</sup>

A portion of the consulting payments received by Mr. Rodriguez in 2015 appear to be based on a fixed percentage of 10% of the amount the LHCF received in funding for a specific project. For example, a check from the LHCF to Mr. Rodriguez for \$2,500 contained a comment in the memo line of “10% St. David’s” based on \$25,000 funded to the LHCF from St. David’s.<sup>45</sup> In addition, Mr. Rodriguez received a check for \$7,500 with “Rundberg” on the memo line, which represented 10% of the \$75,000 funded to

<sup>44</sup> See Exhibits 22 and 23 (Pay records for Mr. Rodriguez’s consulting services for the LHCF). The redactions made to Exhibit 22 were made by the authors of this report in order to withhold details of what may be considered Mr. Rodriguez’s personal tax information.

<sup>45</sup> See Exhibit 24 (Check copies for Mr. Rodriguez’s consulting payments from the LHCF in 2015 and 2016).



the LHCF by the City of Austin for the Restore Rundberg project.<sup>46</sup> The consulting payments received by Mr. Rodriguez from the LHCF in 2015 and 2016 are detailed below.<sup>47,48,49</sup>

LHCF Payments to Mr. Rodriguez for Consulting Services				
Date	Type	Payee	Description	Amount
4/13/2015	Check	Frank Rodriguez	C/S Rundberg Project	\$ 7,500.00
4/13/2015	Check	Frank Rodriguez	C/S Huston Tillotson	2,500.00
4/13/2015	Check	Frank Rodriguez	C/S Project	60.00
4/17/2015	Check	Frank Rodriguez	C/S St. David's Hospital	2,500.00
10/26/2015	Check	Frank Rodriguez	C/S	1,587.25
11/30/2015	Check	Frank Rodriguez	C/S	1,587.25
12/23/2015	Check	Frank Rodriguez	C/S	1,500.00
<b>2015 Total</b>				<b>\$ 17,234.50</b>
1/26/2016	Check	Frank Rodriguez	Contract Labor	\$ 1,875.00
1/26/2016	Check	Frank Rodriguez	Contract Labor	1,500.00
2/29/2016	Check	Frank Rodriguez	Contract Labor	1,500.00
3/31/2016	Check	Frank Rodriguez	Contract Labor	1,500.00
4/26/2016	Check	Frank Rodriguez	Contract Labor	1,500.00
5/26/2016	Check	Frank Rodriguez	Contract Labor	1,500.00
6/30/2016	Check	Frank Rodriguez	Contract Labor	1,500.00
7/29/2016	Check	Frank Rodriguez	Contract Labor	1,500.00
8/26/2016	Check	Frank Rodriguez	Contract Labor	1,500.00
9/21/2016	Check	Frank Rodriguez	Contract Labor	1,500.00
10/28/2016	Check	Frank Rodriguez	Contract Labor	1,500.00
11/30/2016	Check	Frank Rodriguez	Contract Labor	1,500.00
12/20/2016	Check	Frank Rodriguez	Contract Labor	1,500.00
<b>2016 Total</b>				<b>\$ 19,875.00</b>
<b>Total Consulting Payments to Mr. Rodriguez</b>				<b>\$ 37,109.50</b>

Mr. Rodriguez's compensation for consulting services from the LHCF after he resigned as Executive Director to work for the City of Austin is outlined in a consulting agreement between Mr. Rodriguez and

<sup>46</sup> See Exhibit 24 (Check copies for Mr. Rodriguez's consulting payments from the LHCF in 2015 and 2016).

<sup>47</sup> Mr. Rodriguez's 2015 and 2016 1099 tax records provided by the LHCF reflect reported compensation of \$17,274.50 and \$19,875.00 respectively. HSSK has not been able to reconcile the \$40 difference in Mr. Rodriguez's 2015 compensation for consulting services reported on his 1099 compared to the payment information provided by the LHCF. Mr. Rodriguez's 1099 tax records are not included as an exhibit to this report as it contains Mr. Rodriguez's personal tax information.

<sup>48</sup> While some of the payments to Mr. Rodriguez in 2015 for consulting services appear to have been received prior to his last day as a LHCF employee on 4/17/15 and prior to starting full-time employment with the City of Austin on 4/20/15, Mr. Rodriguez appears to have started work as a part-time advisor for Mayor Adler on a volunteer basis as early as February or March of 2015 (see Exhibit 7).

<sup>49</sup> Mr. Rodriguez also received approximately \$6,000 in expense reimbursements from the LHCF in 2015 related to health insurance reimbursements, events, promotional materials, food and telephone services (see Exhibit 22).



the LHCF dated December 21, 2015 (“LHCF Consulting Agreement”).<sup>50</sup> The LHCF Consulting Agreement includes the following language and provisions, among others:<sup>51</sup>

*“[Mr. Rodriguez] as an employee of the City of Austin is permitted to perform limited consulting services subject to the terms of [Mr. Rodriguez’s] employment relationship with the City of Austin and the applicable policies and procedures of the City of Austin including Chapter 2-7, Ethics and Financial Disclosure.”*

*“[Mr. Rodriguez] previously has provided consultant services to the [LHCF] and [Mr. Rodriguez] wishes to convert monies owed for consulting services into this agreement;”<sup>52</sup>*

*“In consideration of the services to be provided by [Mr. Rodriguez] to the [LHCF] hereunder, the [LHCF] shall pay to [Mr. Rodriguez] \$75 per hour...The [LHCF] shall pay to [Mr. Rodriguez] invoiced amounts within thirty (30) days after the date of invoice.”<sup>53</sup>*

*“...in the event that any conflict should arise between the duties set forth in this Agreement and [Mr. Rodriguez’s] obligations to the City of Austin, [Mr. Rodriguez] shall necessarily notify the [LHCF] immediately, and that [Mr. Rodriguez’s] obligations to the City of Austin shall take precedence over the terms of this Agreement.”*

*“This Agreement shall remain in effect for a term of one (1) year commencing on the date first written above, unless sooner terminated as hereinafter provided, or unless extended by agreement of the parties.”*

*“[Mr. Rodriguez] shall not be expected to use any City of Austin owned facilities or equipment owned or administered in performance of the Services.”*

In addition to the provisions listed above, the LHCF Consulting Agreement provides a description of the nature of services to be provided by Mr. Rodriguez which include strategic services, financial advisory services including raising capital through private and non-private sources, and operational services including an assessment of organizational structure and culture, among others.<sup>54</sup> In an interview conducted by HSSK, the LHCF’s CEO, Ms. Ramirez, indicated that “a void” was left by Mr. Rodriguez’s departure to work for the City of Austin and the LHCF “felt the need for a consulting relationship with [Mr.] Rodriguez.”<sup>55</sup> Ms. Ramirez also indicated that “most of [Mr.] Rodriguez’s work was grant

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<sup>50</sup> See Exhibit 25 (LHCF Consulting Agreement with Frank Rodriguez dated 12/21/15).

<sup>51</sup> See Exhibit 25 (LHCF Consulting Agreement with Frank Rodriguez dated 12/21/15).

<sup>52</sup> This provision appears to relate to the fact that Mr. Rodriguez had been providing consulting services to the LHCF since the start of his employment for the City of Austin in April 2015 and prior to the execution of the LHCF Consulting Agreement.

<sup>53</sup> While the LHCF Consulting Agreement indicates that Mr. Rodriguez would be paid an hourly rate of \$75/hour based on monthly invoiced amounts, a monthly payment history for 2016 provided by the LHCF indicates that Mr. Rodriguez was paid \$1,500 each month via check, the equivalent of 20 hours per month. HSSK has not been provided invoices for consulting payments to Mr. Rodriguez, however it appears that Mr. Rodriguez’s compensation as a consultant was treated as a monthly retainer as opposed to hourly (See Exhibit 23).

<sup>54</sup> See Exhibit 25 (LHCF Consulting Agreement with Frank Rodriguez dated 12/21/15).

<sup>55</sup> See Exhibit 26 (Interview Memorandum for Jill Ramirez dated 1/9/18).





writing...for new grants from other sources, not the City [of Austin].”<sup>56</sup> In addition, the LHCF’s Board Chair Raul Castaneda (“Mr. Castaneda”) indicated in a January 2018 letter to the Office of the City Auditor that Ms. Ramirez was authorized by the LHCF Board to request that Mr. Rodriguez provide consulting services for “business and strategic planning,” as well as “grants development.”<sup>57</sup> Mr. Castaneda also indicated in his letter that the CEO has authority to contract for amounts under \$25,000 and that as part of the LHCF Consulting Agreement no services could be provided by Mr. Rodriguez for City of Austin contracts or paid with City of Austin funds.<sup>58</sup>

In addition, [REDACTED] Linda Smith (“Ms. Smith”) was also compensated by the LHCF in her role as Chief Administrative Officer since 2014, including while Mr. Rodriguez worked for the City of Austin.<sup>59,60</sup> The payments received by Mr. Rodriguez and Ms. Smith from the LHCF for salary, consulting services and expense reimbursements during the 2012 – 2017 time period are summarized below.

Frank Rodriguez and Linda Smith Payments from the LHCF							
	2012	2013	2014	2015	2016	2017	Total
<b>Frank Rodriguez</b>		[1]	[1]	[2]	[2]	[2]	
Salary	\$ -	\$20,030	\$ 74,085	\$ 30,649	\$ -	\$ -	\$124,764
Consulting Services	-	-	-	17,235	19,875	-	37,110
Expense Reimbursements	-	-	13,413	6,130	-	-	19,543
<b>Subtotal</b>	<b>\$ -</b>	<b>\$20,030</b>	<b>\$ 87,498</b>	<b>\$ 54,014</b>	<b>\$19,875</b>	<b>\$ -</b>	<b>\$181,417</b>
<b>Linda Smith</b>							
Salary	\$ -	\$ -	\$ 65,855	\$ 74,798	\$69,928	\$67,238	\$277,819
Expense Reimbursements	-	-	-	-	-	-	-
<b>Subtotal</b>	<b>\$ -</b>	<b>\$ -</b>	<b>\$ 65,855</b>	<b>\$ 74,798</b>	<b>\$69,928</b>	<b>\$67,238</b>	<b>\$277,819</b>
<b>Total</b>	<b>\$ -</b>	<b>\$20,030</b>	<b>\$153,353</b>	<b>\$128,812</b>	<b>\$89,803</b>	<b>\$67,238</b>	<b>\$459,236</b>

Sources:  
<sup>[1]</sup> LHCF Form 990 Tax Filings.  
<sup>[2]</sup> Frank Rodriguez’s W-2 (2015) and LHCF pay records; Linda Smith’s 2016 and 2017 W-2s.

### Mr. Rodriguez Helped to Secure Contracts for the LHCF with the City of Austin

While the LHCF Consulting Agreement and the letter from LHCF’s Board Chair Mr. Castaneda indicate that Mr. Rodriguez was not authorized to work on contracts between the LHCF and City of Austin, a review of Mr. Rodriguez’s email correspondence through his City of Austin email account and City of

<sup>56</sup> See Exhibit 26 (Interview Memorandum for Jill Ramirez dated 1/9/18).

<sup>57</sup> See Exhibit 27 (Letter from Raul Castaneda dated 1/31/18).

<sup>58</sup> See Exhibit 27 (Letter from Raul Castaneda dated 1/31/18).

<sup>59</sup> Compensation received by Linda Smith from the LHCF is based on the LHCF’s Form 990s and W-2 tax records. Ms. Smith’s W-2 tax records are not included as an exhibit to this report as they contain her personal tax information.

<sup>60</sup> A substantial interest of a spouse of a City official or employee shall be deemed to apply to that official or employee for the purposes of Sections 2-7-63 (Prohibition on Conflict of Interest) and 2-7-64 (Disclosure of Conflict of Interest) concerning disclosure and recusal or assignment. § 2-7-65 (A) of the City Code.



Austin issued computer indicate that Mr. Rodriguez was actively involved in helping to secure the renewal of existing contracts between the LHCF and the City of Austin, as well as assisting to generate new funding opportunities for the LHCF through the City of Austin. HSSK identified the following examples of Mr. Rodriguez's efforts to advocate and secure contracts for the LHCF from the City of Austin:

- On May 28, 2015, Mr. Rodriguez emailed Mayor Adler regarding the LHCF's unveiling of the Rundberg Community Innovation Zone stating "this is the project I started while at the LHCF" and that it "could be a good model for future place-based, zip-code focused projects in Council districts."<sup>61</sup>
- In August 2015, Mr. Rodriguez was involved in drafting the LHCF's proposal for the renewal of the LHCF's Restore Rundberg contract with the City of Austin. On August 6, 2015, Linda Smith emailed a draft proposal to LHCF staff including Mr. Rodriguez that was approximately two pages in length.<sup>62</sup> On August 12, 2015, Mr. Rodriguez emailed a revised proposal titled "Rundberg Proposal" to the LHCF that was eight pages in length with the subject line of the email "Send this in to Greg and the Mayor."<sup>63</sup> Approximately 36 minutes later, the LHCF's CEO Jill Ramirez emailed Mayor Adler the proposal provided by Mr. Rodriguez for funding of \$175,000.<sup>64</sup> The City of Austin and APH subsequently awarded a contract to the LHCF on February 29, 2016 for \$175,000 related to Restore Rundberg.<sup>65,66</sup>
- On August 12, 2015, Mr. Rodriguez sent an email to LHCF staff regarding a contract opportunity related to public engagement for CodeNEXT. Mr. Rodriguez indicated that "the Mayor and others want a culturally competent public engagement process" and "apparently there is another opportunity to do more."<sup>67</sup> Mr. Rodriguez also directed the LHCF staff to "think about doing some of this work through the CHC."<sup>68,69</sup>
- HSSK identified a proposal on Mr. Rodriguez's City of Austin computer from the LHCF to the City of Austin / APH dated August 14, 2015 related to the renewal of the LHCF's ACA enrollment contract.<sup>70</sup> The proposal includes a funding need of \$200,000 which was ultimately awarded to the LHCF in October 2015 for ACA enrollment as part of the 2015-2016 budget approvals.<sup>71</sup>
- On September 18, 2015, Mr. Rodriguez emailed Mayor Adler in response to the announcement of the LHCF being awarded the federal navigator grant.<sup>72</sup> Shortly after Mr. Rodriguez's communication to Mayor Adler, the LHCF secured a contract extension for

<sup>61</sup> See Exhibit 28 (Email from Mr. Rodriguez to Mayor Adler dated 5/28/15).

<sup>62</sup> See Exhibit 29 (Email correspondence related to Rundberg Proposal in August 2015).

<sup>63</sup> See Exhibit 29 (Email correspondence related to Rundberg Proposal in August 2015).

<sup>64</sup> See Exhibit 29 (Email correspondence related to Rundberg Proposal in August 2015).

<sup>65</sup> See Exhibit 4 (contract MA 9100 NG160000022).

<sup>66</sup> On August 13, 2015, Mayor Adler forwarded the Rundberg Proposal submitted by LHCF to Mr. Rodriguez (see Exhibit 29).

<sup>67</sup> See Exhibit 30 (Email correspondence related to CodeNEXT Opportunity).

<sup>68</sup> See Exhibit 30 (Email correspondence related to CodeNEXT Opportunity).

<sup>69</sup> CHC is the Center for Healthy Communities, the newest LHCF initiative focused on public policies and other special initiatives. Source: LHCF website.

<sup>70</sup> See Exhibit 31 (LHCF Proposal for ACA enrollment from Mr. Rodriguez's City of Austin computer).

<sup>71</sup> See Exhibit 4 (contract MA 9100 NG160000005).

<sup>72</sup> See Exhibit 32 (Email from Mr. Rodriguez to Mayor Adler dated 9/18/15).

ACA enrollment for the 2015-2016 fiscal year for \$200,000 with another extension option for \$200,000 for the 2016-2017 fiscal year.<sup>73</sup> Excerpts from Mr. Rodriguez's email to Mayor Adler are provided below:<sup>74</sup>

*"...when the City ACA grant was awarded for the first time last year, the LHCF was awarded \$200k and Foundation Communities (FC) \$100k. The service models are different...FC uses volunteers at [sic] certain locations and asks people to come to them and focuses on re-enrollments; while LHCF has boots on the ground and goes to people where they work, play, etc. and focuses on hard to reach, vulnerable population that sometimes has mixed households (documented and undocumented). **I was involved in the process and there was an understanding that this was a multi-year award for both FC and LHCF**, but because last year's process and the funding decision was done in the Council's convoluted budget process and this wasn't picked up clearly. Though, **the previous Director [Carlos Rivera] and I had an understanding.** [emphasis added]*

*Yesterday, Council awarded Foundation Communities additional ACA money based on last week's budget decision. When the LHCF inquired about their portion, HHS told them that they would have to go through an RFP process, even though Foundation Communities didn't...They were supposed to get a phone call from upper management yesterday afternoon and they didn't so they may be back next week to Council. CM Renteria is assisting with this issue. **They're feeling they are getting disparate treatment. I'm staying out of this except to urge that all parties should be communicating.** [emphasis added]*

- The following year on August 21, 2016 in preparation for the 2016-2017 fiscal year budget, Mr. Rodriguez emailed Mayor Adler the HLQL Commission's budget recommendations stating "I need to vet these with Pio [Renteria] to [make] sure he is OK and the list should probably come from him after he approves."<sup>75</sup> The email chain also included a comment from LHCF's CEO and new Chair of the HLQL Commission Jill Ramirez stating "I decreased from all except ACA and dropped anything that Pio [Renteria] exed out."<sup>76</sup> The HLQL Commission's budget recommendations provided by Mr. Rodriguez to Mayor Adler totaled \$1,024,081 including \$300,000 for ACA enrollment with a project summary that stated "Funding is for both Latino Health Forum and Foundation Communities."<sup>77</sup> The LHCF ultimately received \$200,000 in funding for ACA enrollment from the City of Austin for the 2016-2017 fiscal year.<sup>78</sup> The HLQL Commission's budget recommendations also included \$75,000 for a Montopolis and Del Valle Community Health Assessment.<sup>79</sup>

<sup>73</sup> See Exhibit 4 (contract MA 9100 NG160000005).

<sup>74</sup> See Exhibit 32 (Email from Mr. Rodriguez to Mayor Adler dated 9/18/15).

<sup>75</sup> See Exhibit 33 (Email from Mr. Rodriguez to Mayor Adler dated 8/21/16).

<sup>76</sup> See Exhibit 33 (Email from Mr. Rodriguez to Mayor Adler dated 8/21/16).

<sup>77</sup> See Exhibit 33 (Email from Mr. Rodriguez to Mayor Adler dated 8/21/16).

<sup>78</sup> See Exhibit 4 (contract MA 9100 NG160000005).

<sup>79</sup> It was the intention of the LHCF to conduct the Montopolis and Del Valle Community Health Assessment, similar to the health assessments completed previously by the LHCF for Dove Springs and Rundberg. The LHCF also

- During the approval of the 2016-2017 fiscal year budget, the budget for the HLQL Commission's funding requests which totaled approximately \$1 million was reduced to \$700,000 along with the funding requests for the African American Quality of Life Advisory Commission and the Asian American Quality of Life Advisory Commission. Mr. Rodriguez emailed Mayor Adler on September 11, 2016 with revised HLQL Commission budget requests for \$700,000 stating "I simply went down their \$1 million list and cut it off at \$700k."<sup>80</sup> The revised HLQL Commission budget recommendations submitted by Mr. Rodriguez to Mayor Adler still included \$300,000 for ACA enrollment and \$75,000 for the Montopolis and Del Valle Community Health Assessment.<sup>81</sup>
- On September 12, 2016, Mr. Rodriguez emailed Mayor Adler proposing that outreach for the Supplemental Nutrition Assistance Program ("SNAP") be added to the LHCF's ACA enrollment contract for the 2016-2017 fiscal year budget.<sup>82</sup> Mr. Rodriguez's email to Mayor Adler was part of a proposed solution related to funding requests by City Councilmembers Garza and Tovo for SNAP funding.<sup>83</sup> Mr. Rodriguez stated:<sup>84</sup>

*"[LHCF] could add this to their contract and save the money. [LHCF] will probably [need] a little \$ for outreach materials, but they already have the community health workers to do this."*

- Mayor Adler emailed Mr. Rodriguez on September 12, 2016 during the finalization of the 2016-2017 budget asking if he was "okay" with a draft rider provision that funding requests from the quality of life commission be vetted by an interdisciplinary team of city staff and presented to Boards and Commissions followed by the Council for approval.<sup>85</sup> Mr. Rodriguez responded that if funding requests are "having to go through the Council HHS[D] committee...then some of these will be impacted, e.g., the ACA enrollment which starts in November. Maybe just include the chairs of the [Quality of Life Commissions] to work with staff."<sup>86,87</sup>
- On September 19, 2016, following the approval of the 2016-2017 fiscal year budget, Mr. Rodriguez emailed the APH Chief of Staff, Bob Corona ("Mr. Corona") regarding funding to be awarded to the LHCF for ACA enrollment. Mr. Rodriguez wrote:<sup>88</sup>

*"It was understood that the ACA monies should be executed for existing contractors that have current contracts and renewables because of the tight timeline before the startup of the ACA. **The ACA split discussed was \$200k for LHCF and \$100k for***

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had discussions with City Council during the budget process about completing the work. While the City Council approved funding for \$75,000 for the assessment, APH ultimately decided to solicit vendors and submit an RFP for this work, in part due to requests from the Statesman about previous no-bid contracts awarded to the LHCF (see Exhibit 34 – Email correspondence between Jill Ramirez and APH personnel).

<sup>80</sup> See Exhibit 35 (Email from Mr. Rodriguez to Mayor Adler dated 9/11/16).

<sup>81</sup> See Exhibit 35 (Email from Mr. Rodriguez to Mayor Adler dated 9/11/16).

<sup>82</sup> See Exhibit 36 (Email from Mr. Rodriguez to Mayor Adler dated 9/12/16).

<sup>83</sup> See Exhibit 36 (Email from Mr. Rodriguez to Mayor Adler dated 9/12/16).

<sup>84</sup> See Exhibit 36 (Email from Mr. Rodriguez to Mayor Adler dated 9/12/16).

<sup>85</sup> See Exhibit 37 (Email from Mr. Rodriguez to Mayor Adler dated 9/12/16).

<sup>86</sup> See Exhibit 37 (Email from Mr. Rodriguez to Mayor Adler dated 9/12/16).

<sup>87</sup> As previously described, Ms. Ramirez was CEO of the LHCF and Chair of the HLQL Commission at this time.

<sup>88</sup> See Exhibit 38 (Email from Mr. Rodriguez to Bob Corona dated 9/19/16).

**Foundation Communities.** *I confirmed this with Walter [Moreau]. There was a comment made by CM Houston prior to going into the meeting that the ACA funds should be RFPd out but this was never approved.” [emphasis added]*

**Mr. Rodriguez Provided Preferential Treatment to the LHCF as a Senior Policy Advisor**

Part of Mr. Rodriguez’s role as a Senior Policy Advisor for Mayor Adler was to serve as a liaison between community organizations and the Mayor’s office. However, a review of Mr. Rodriguez’s email correspondence while employed by the City of Austin indicates that Mr. Rodriguez assisted the LHCF on a regular basis and provided preferential treatment to the LHCF over at least one other community organization providing similar services that was competing for the same funding as the LHCF. Examples of Mr. Rodriguez’s assistance and / or preferential treatment while serving as Senior Policy Advisor (and while being compensated for consulting services by the LHCF) are provided below:

- Mr. Rodriguez provided the LHCF with access to Mayor Adler and City Council including setting up meetings and providing a direct line of communication to submit budget recommendations and voice concerns over funding approval.<sup>89</sup>
- Mr. Rodriguez advocated for LHCF personnel to be appointed for positions on committees, commissions and other organizations including the HLQL Commission, City of Austin Community Partner, Central Health’s Equity Council and participation in the Equitable Development Conference, among others.<sup>90</sup>
- Mr. Rodriguez provided resources for LHCF activities including access to City of Austin facilities for ACA enrollment events, facilitating promotional activities for LHCF such as Mayor Adler promotional videos and Austin Energy inserts for utility bills.<sup>91</sup>
- While representing the Mayor’s Office and using his City of Austin email account, Mr. Rodriguez assisted the LHCF to organize events such as the 50<sup>th</sup> Anniversary of Medicare/Medicaid and a visit from the U.S. Department of Labor Secretary.<sup>92</sup>
- While representing the Mayor’s Office and using his City of Austin email account, Mr. Rodriguez provided introductions for LHCF personnel to business/community leaders such as the ACA Coalition, Central Health Board Members and the Regional President for Baylor Scott & White, among others.<sup>93</sup>
- Mr. Rodriguez provided information to LHCF personnel including City Council/APH meeting agendas, information related to Mayor Adler’s proposed budget review process and Equity Development Tool, and information related to the creation of the Equity Office, among other types of information.<sup>94</sup>

<sup>89</sup> See Exhibit 39 (Email correspondence between Mr. Rodriguez and LHCF personnel).

<sup>90</sup> See Exhibit 40 (Email correspondence between Mr. Rodriguez and LHCF personnel).

<sup>91</sup> See Exhibit 41 (Email correspondence between Mr. Rodriguez and LHCF personnel).

<sup>92</sup> See Exhibit 42 (Email correspondence between Mr. Rodriguez, Mayor Adler and LHCF personnel).

<sup>93</sup> See Exhibit 43 (Email correspondence between Mr. Rodriguez, LHCF personnel, Nick Rehnberg, Anthony Haley, Andrew Knight and Richard Yuen).

<sup>94</sup> See Exhibit 44 (Email correspondence between Mr. Rodriguez and LHCF personnel).



### **Mr. Rodriguez Spent City Time and Resources on LHCF Related Business While a City Employee**

During his employment with the City of Austin as Senior Policy Advisor, Mr. Rodriguez spent time working on projects for the LHCF and attending meetings with LHCF staff or on behalf of the LHCF. Based on a review of scheduled meetings from Mr. Rodriguez's Microsoft Outlook calendar for his City of Austin email account, Mr. Rodriguez attended over 30 meetings with LHCF personnel or affiliated individuals while a Senior Policy Advisor.<sup>95</sup>

In particular, Mr. Rodriguez was working on various technology initiatives with the LHCF's Chief Technology Officer, Hector Torres ("Mr. Torres").<sup>96</sup> During the summer of 2015, Mr. Rodriguez and Mr. Torres planned a "Hackathon" in an effort to develop an "app" related to healthcare solutions.<sup>97</sup> Mr. Rodriguez and Mr. Torres also worked on solidifying a partnership with IBM and other technology companies for the development of the app and creating a platform.<sup>98</sup> In addition, Mr. Rodriguez helped to prepare a proposed business model for the LHCF consisting of a hybrid for-profit/non-profit model with the for-profit portion of the business focused on technology initiatives and a partnership with emPoder, a health solutions company created by Mr. Rodriguez and Mr. Torres in May 2015.<sup>99,100</sup> HSSK has been unable to determine at this time what ultimately occurred with the technology initiatives including emPoder as there is little email correspondence between Mr. Rodriguez and Mr. Torres after Mr. Rodriguez instructed Mr. Torres on January 22, 2016 to not use Mr. Rodriguez's "city email for outside activities."<sup>101</sup>

### **Mr. Rodriguez Failed to Disclose Conflicts of Interest**

As Chair of the HLQL Commission, as well as during his employment with the City of Austin as a Senior Policy Advisor to Mayor Adler, Mr. Rodriguez failed to disclose conflicts of interests related to the LHCF. Mr. Rodriguez did not disclose a conflict of interest or recuse himself in August 2014 when he voted as Chair of the HLQL Commission to approve funding requests to the City of Austin which resulted in \$275,000 being awarded to the LHCF, by whom Mr. Rodriguez was paid over \$87,000 in 2014 as Executive Director. Mr. Rodriguez filed a Statement of Financial Information with the City of Austin for 2014 indicating that he was employed by the LHCF in 2014; however, that Statement of Financial Information was not submitted until November 5, 2015.<sup>102</sup> By the time Mr. Rodriguez submitted his 2014 Statement of Financial Information, he was no longer Chair of the HLQL Commission or Executive Director of the LHCF and the two contracts awarded to the LHCF for ACA enrollment and Restore Rundberg in September 2014 had already expired.<sup>103</sup>

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<sup>95</sup> See Exhibit 45 (Meetings with LHCF personnel and affiliated individuals from Mr. Rodriguez's Microsoft Outlook account for the City of Austin).

<sup>96</sup> See Exhibit 46 (Email correspondence between Mr. Rodriguez and Hector Torres).

<sup>97</sup> See Exhibit 46 (Email correspondence between Mr. Rodriguez and Hector Torres).

<sup>98</sup> See Exhibit 46 (Email correspondence between Mr. Rodriguez and Hector Torres).

<sup>99</sup> See Exhibit 47 (LHCFNEWBIZMODEL.pptx).

<sup>100</sup> See Exhibit 48 (Texas Secretary of State filings for emPoder, LLC).

<sup>101</sup> See Exhibit 49 (Email from Mr. Rodriguez to Hector Torres dated 1/22/16).

<sup>102</sup> See Exhibit 50 (Statement of Financial Information for Mr. Rodriguez and [REDACTED] for 2014).

<sup>103</sup> Chapter 2-7 of the City Code states that "any non-elective City officials covered by Section 2-7-71 who are appointed or hired shall file an initial statement of financial information for the previous calendar year within 30 days of being hired or appointed." § 2-7-72 of Austin City Code (see Exhibit 51).



As a Senior Policy Advisor employed by the City of Austin, Mr. Rodriguez never disclosed to Mayor Adler, or the Mayor's current and former Chiefs of Staff that he received compensation for consulting services as part of a consulting agreement with the LHCF.<sup>104,105,106</sup> Mr. Rodriguez submitted his 2015 and 2016 sworn Statements of Financial Information on April 29, 2016 and May 1, 2017 for both he and [REDACTED] Ms. Smith, indicating sources of income as the City of Austin and the LHCF.<sup>107</sup> While Mr. Rodriguez listed the LHCF as a source of income for he and [REDACTED] it was listed only once without any detail to clarify that he and [REDACTED] had both received compensation from the LHCF in 2015 and 2016. Mayor Adler's current Chief of Staff indicated that when reviewing Mr. Rodriguez's Statements of Financial Information, it was interpreted that the income listed from the LHCF had been for Ms. Smith's compensation as Chief Administrative Officer of the LHCF.<sup>108</sup> Mr. Rodriguez failed to disclose his income from the LHCF on Section 2 of the Statement of Financial Income, which requires the names of clients from which more than \$5,000 in professional fees were received if the filer is acting as a self-employed consultant.

In or around March 2017, shortly after the PIRs submitted by Mr. Hicks of the Statesman, the City Attorney's Office prepared a confidential memorandum at the request of Mayor Adler's Chief of Staff concerning applicable conflict of interest provisions related to the circumstances concerning Mr. Rodriguez's and Ms. Smith's affiliation with the LHCF. While the memorandum appears to be thorough and to provide an extensive and detailed analysis of applicable City Code provisions, the memorandum was primarily focused on possible conflicts of interest related to [REDACTED] and her position within the LHCF. It does not appear that the City Attorney's Office had knowledge of Mr. Rodriguez's compensation from the LHCF in 2015 and 2016 as a consultant while employed by the City of Austin. In addition, by early 2017 when the memorandum was prepared by the City Attorney's Office, Mr. Rodriguez was no longer receiving compensation from the LHCF. Ideally, this request should have included a full recitation of the underlying facts and should have been sought – and heeded – at the commencement of Mr. Rodriguez's employment with the City of Austin.

As a result of the conversations between Mr. Rodriguez and the City Attorney's Office, which appear to have centered around compensation received by [REDACTED] on March 31, 2017 Mr. Rodriguez filed a Local Government Officer Conflicts Disclosure Statement ("Conflicts Disclosure Statement") with

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<sup>104</sup> Mr. Rodriguez indicated in an interview with HSSK that he recalls disclosing in an email to the Mayor's Chief of Staff about his "on-going relationship" with the LHCF. Mr. Rodriguez also indicated that he recalls two conversations with Mayor Adler concerning his "on-going work" with the LHCF. HSSK requested that Mr. Rodriguez provide documentation to support his statements regarding disclosure to Mayor Adler or his Chief of Staff. As of the date of this report, Mr. Rodriguez has not provided documentation to support these statements.

<sup>105</sup> City Code states that "a City employee shall notify in writing his supervisor of any substantial interest he may have in a natural person, entity or property which would be affected by an exercise of discretionary authority by the City employee and a supervisor shall reassign the matter." A substantial interest exists if "funds received by the person from the other person or entity either during the previous 12 months or the previous calendar year equaled or exceeded \$5,000 in salary, bonuses, commissions or professional fees..." § 2-7-2(1) and § 2-7-64 (C) of Austin City Code (see Exhibit 51).

<sup>106</sup> See Exhibit 52 (Interview Summaries for Mayor Adler and Mayor Adler's Chiefs of Staff).

<sup>107</sup> See Exhibit 53 (Statement of Financial Information for Mr. Rodriguez and [REDACTED] for 2015 and 2016).

<sup>108</sup> See Exhibit 52 (Interview Summaries for Mayor Adler and Mayor Adler's Chiefs of Staff).



the City Clerk.<sup>109</sup> According to Mr. Rodriguez's Conflicts Disclosure Statement, the city vendor listed on the statement was the LHCF and Mr. Rodriguez filed the statement "out of an abundance of caution...because a family member receives taxable income from this city vendor."<sup>110</sup> However, Mr. Rodriguez did not include any information on the disclosure regarding the consulting payments he received from the LHCF in 2015 and 2016 while employed by the City of Austin.<sup>111</sup>

#### **Mr. Rodriguez Represented He Was Not Paid for City of Austin Contracts**

In addition to failing to disclose potential and actual conflicts of interest related to his involvement with the LHCF, Mr. Rodriguez represented to APH personnel that he was not getting paid from the LHCF's contracts with the City of Austin. In a January 29, 2015 email to Robert Kingham, Community Based Resource Unit Manager for APH, Mr. Rodriguez wrote:<sup>112,113</sup>

*"...I am not getting paid for any of the City contracts with the LHCF. I am volunteering my time not only on the Rundberg project but all City projects including the ACA project. I made this publicly clear to the Rundberg group at their last meeting. I thought it important that we leverage as much as possible for this important community work. Of course, this can be verified through the audit that will be conducted."*

However, the LHCF's audited financial statements submitted to APH as part of their annual review do not provide sufficient detail to determine the source of LHCF's funds. The LHCF's 2014 audited financial statements list all cash receipts for 2014 as a single line item titled "project contracts" totaling \$711,454 and a note that "contracts with two organizations make up 93% of revenue."<sup>114</sup> The LHCF's 2015 audited financial statements provide only a single line item for "project contracts" and it is not until the LHCF's 2016 audited financial statements completed in June 2017 that revenues are separated between local and federal government awards.<sup>115</sup>

The annual review of the LHCF conducted by APH in 2016 raised a concern over compensation in 2015 to the "former Executive Director" including \$31,000 in wages, \$17,000 in contract labor and \$6,000 for expense reimbursements.<sup>116</sup> However, an APH staff member interviewed by HSSK indicated that APH was not aware of the LHCF Consulting Agreement with Mr. Rodriguez or that Mr. Rodriguez continued to receive compensation from the LHCF after he resigned as Executive Director and transitioned to the

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<sup>109</sup> See Exhibit 54 (Local Government Officer Conflicts Disclosure Statement).

<sup>110</sup> See Exhibit 54 (Local Government Officer Conflicts Disclosure Statement).

<sup>111</sup> The Conflicts Disclosure Statement requires a local government officer to file a conflicts disclosure statement if the local government officer or a family member receives taxable income from a city vendor during the 12 month period prior to becoming aware of the execution of a contract between the city and the vendor. See Exhibit 54 (Local Government Officer Conflicts Disclosure Statement).

<sup>112</sup> See Exhibit 55 (Email from Mr. Rodriguez to Robert Kingham dated 1/29/15).

<sup>113</sup> As previously described, Mr. Rodriguez subsequently received payment from the LHCF for \$7,500 in April 2015 for 10% of the funds awarded to the LHCF by the City of Austin for the Rundberg Project which is inconsistent with Mr. Rodriguez's representation to Mr. Kingham.

<sup>114</sup> See Exhibit 56 (LHCF audited financial statements for 2014 – 2016).

<sup>115</sup> See Exhibit 56 (LHCF audited financial statements for 2014 – 2016).

<sup>116</sup> See Exhibit 57 (Email correspondence for APH personnel related to annual reviews of LHCF).





City of Austin as a Senior Policy Advisor.<sup>117</sup> According to APH Interim Director, when APH requested additional information from the LHCF about Mr. Rodriguez's compensation in 2015, the LHCF represented that his compensation was related to the first part of 2015 when Mr. Rodriguez was still Executive Director and some "residual compensation."<sup>118</sup> The APH Interim Director also communicated to HSSK that if APH had been aware of Mr. Rodriguez's continued compensation from the LHCF while employed by the City of Austin as a Senior Policy Advisor, APH would have reported this information to the Office of the City Auditor due to a possible conflict of interest.<sup>119</sup>

#### **Mr. Rodriguez's Efforts to Secure LHCF Contract Extensions Occurred During the Pendency of a Corrective Action Plan**

Mr. Rodriguez's conduct with regard to the extension of LHCF's contracts, including the September 18, 2015 email to Mayor Adler, occurred while the LHCF was supposed to be addressing a "corrective action plan" imposed by APH contract managers following the 2015 annual review. On July 9, 2015, the APH Community Based Resources Unit initiated a series of corrective actions with regard to three LHCF contracts, identifying bylaw violations, material weaknesses in internal controls, and lack of sustainable program resources with an October 9, 2015 deadline to implement the action items.<sup>120,121</sup> As of September 21, 2015, the APH contract manager concluded that the LHCF had not begun its corrective actions.<sup>122</sup>

#### **Mr. Rodriguez Deleted Key Emails Prior to Our Investigation**

HSSK identified several emails that appear to have been deleted by Mr. Rodriguez prior to our investigation including the September 18, 2015 and August 21, 2016 emails from Mr. Rodriguez to Mayor Adler in which Mr. Rodriguez advocated for the renewal of LHCF contracts with the City of Austin.<sup>123,124</sup> Based on discussions with the Office of the City Auditor and personnel from the City of Austin IT Department, it appears that Mr. Rodriguez deleted these emails from his City of Austin email account, as well as potentially others after the emails were provided to Statesman pursuant to the PIRs and prior to our information requests associated with our independent investigation. When HSSK asked Mr. Rodriguez about emails that may have been deleted, Mr. Rodriguez indicated that his computer was used frequently by other staff and volunteers and that he was asked by the Mayor's Office to clean up his computer prior to his departure as certain files would be used by his replacement. We have not performed

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<sup>117</sup> See Exhibit 19 (Interview Transcript of APH Interim Director dated 3/13/18).

<sup>118</sup> See Exhibit 19 (Interview Transcript of APH Interim Director dated 3/13/18).

<sup>119</sup> See Exhibit 19 (Interview Transcript of APH Interim Director dated 3/13/18).

<sup>120</sup> See Exhibit 58 – (Email correspondence for APH personnel related to annual reviews for the LHCF).

<sup>121</sup> Other concerns raised by APH personnel include a lack of separation of duties, limited staff and resources, LHCF renting office space from its CEO and the LHCF contracting bookkeeping responsibilities to the spouse of the Chief Operating Officer, among other fiscal control issues. In addition, APH expressed concern over the LHCF's relationship with Sendero and potentially steering individuals to a single health plan, as well as the disparity in enrollees for the LHCF compared to Foundation Communities (See Exhibit 58 - Email correspondence for APH personnel related to annual reviews for the LHCF).

<sup>122</sup> See Exhibit 58 - Email correspondence for APH personnel related to annual reviews for the LHCF).

<sup>123</sup> See Exhibit 32 (Email from Mr. Rodriguez to Mayor Adler dated 9/18/15).

<sup>124</sup> See Exhibit 33 (Email from Mr. Rodriguez to Mayor Adler dated 8/21/16).





a complete investigation to identify all of the information that Mr. Rodriguez may have deleted at this time given the additional costs that would be associated with an analysis of that type.

## V. Investigation Criteria

### City Code, Chapter 2-7: Ethics and Financial Disclosure

**§ 2-7-62 (A)** No City official or employee shall transact any business in his official capacity with any entity in which he has a substantial interest.<sup>125,126</sup>

**§ 2-7-62 (H1)** No City official or employee shall solicit or accept other employment to be performed or compensation to be received while still a City official or employee, if the employment or compensation could reasonably be expected to impair independence in judgment or performance of City duties.

**§ 2-7-62 (I)** A salaried City official or employee may not use the official's or the employee's official position to secure a special privilege or exemption for the official or the employee, to secure a special privilege or exemption for another person, to harm another person, or to secure confidential information for a purpose other than official responsibilities.

**§ 2-7-62 (J)** No City official or employee shall use City facilities, personnel, equipment or supplies for private purposes, except to the extent such are lawfully available to the public.

**§ 2-7-62 (L)** No salaried City official and certain City employees to include the mayor, councilmembers, the city manager, assistant city managers, the city clerk, deputy city clerks, council aides, municipal court clerk, deputy municipal court clerks, municipal judges (including substitute judges), the city auditor, assistants to the city auditor, the city attorney, deputy city attorneys, assistant city attorneys, purchasing agents and those employees with the authority to purchase or contract for the City, all department heads, deputy department heads, and the spouse of each of the above, shall solicit nor propose on a contract, enter into a contract or receive any pecuniary benefit from any contract with the City. This prohibition does not include any employment contract which may be authorized for the official, a contract of sale for real property or a contract for services which are available to all citizens.

**§ 2-7-63 (A)** A City official or employee may not participate in a vote or decision on a matter affecting a natural person, entity, or property in which the official or employee has a substantial interest; provided, however, that this provision shall not prohibit any member of the city council from participating in a

<sup>125</sup> City Employee or Employee means any person employed by the City but does not include independent contractors hired by the City. City Official or Official, unless otherwise expressly defined, [...] includes individuals appointed by the mayor and city council to all City commissions, committees, boards, task forces, or other City bodies unless specifically exempted from this chapter by the city council. *City Code: § 2-7-2 (2)(3)*

<sup>126</sup> Substantial Interest means an interest in another person or an entity if: the interest is ownership of five percent or more of the voting stock, shares or equity of the entity or ownership of \$5,000 or more of the equity or market value of the entity; or funds received by the person from the other person or entity either during the previous 12 months or the previous calendar year equaled or exceeded \$5,000 in salary, bonuses, commissions or professional fees or \$20,000 in payment for goods, products or nonprofessional services, or 10 percent of the person's gross income during that period, whichever is less; the person serves as a corporate officer or member of the board of directors or other governing board of the for-profit entity other than a corporate entity owned or created by the city council; or the person is a creditor, debtor, or guarantor of the other person or entity in an amount of \$5,000 or more except that a home mortgage loan for the person's homestead or a loan or lease of a personal automobile shall not be deemed a substantial interest in the creditor or guarantor if entered into at a market rate with a commercial lending institution before the previous 12 months. *City Code: § 2-7-2 (11)*



discussion relating to a petition certified to the city council by the city clerk which petition seeks the recall of said member of the city council.<sup>127</sup>

**§ 2-7-64 (A)** A City official shall disclose the existence of any substantial interest he may have in a natural person, entity or property which would be affected by a vote or decision of the body of which the City official is a member or that he serves as a corporate officer or member of the board of directors of a nonprofit entity for which a vote or decision regarding funding by or through the City is being considered.<sup>128</sup>

**§ 2-7-64 (B)** To comply with this section, a councilmember or unsalaried City official, prior to the vote or decision, either shall file an affidavit as required by Chapter 171 (Regulation of Conflicts of Interest of Officers of Municipalities, Counties, and Certain Other Local Governments) of the Local Government Code or, if not so required, shall publicly disclose in the official records of the body the nature and extent of such interest.

**§ 2-7-64 (C)** To comply with this section, a City employee shall notify in writing his supervisor of any substantial interest he may have in a natural person, entity or property which would be affected by an exercise of discretionary authority by the City employee and a supervisor shall reassign the matter.<sup>129</sup>

**§ 2-7-65 (C)** A City official or a City employee may not participate in a vote or decision affecting a substantial interest of a person to whom the official or employee is related in the first or second degree of consanguinity or affinity. This subsection does not apply to a substantial interest of a relative based on the relative's employment by a governmental body.<sup>130</sup>

**§ 2-7-67 (B)** A City employee in a position which involves significant decision-making, advisory, or supervisory responsibility, or a City official who leaves the service or employment of the City shall not, within 12 months after leaving that employment or service, represent any other person or entity in any formal or informal appearance, if the City official or employee has received or shall receive remuneration from the person, entity or members of the entity being represented.

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<sup>127</sup> Decision means any ordinance, resolution, contract, franchise, formal action or other matter voted on by the city council or other City board or commission, as well as the discussions or deliberations of the council, board, or commission which can or may lead to a vote or formal action by that body. A decision of a City employee means any action in which the employee exercises discretionary authority, including but not limited to the issuance of permits, imposition or collection of fines or fees, authorizations for expenditures, and other non-ministerial acts. *City Code: § 2-7-2 (4)*

<sup>128</sup> Affected means in the case of a person, entity or property, means reasonably likely to be subject to a direct economic effect or consequence, either positive or negative, as a result of the vote or decision in question [...] Affected does not include those persons or entities who are subject to an indirect or secondary effect from official action. [...] The vote or decision need not be the only producing cause of the economic effect or consequence reasonably likely to result. In determining whether a person, entity or property is or was affected by a vote or decision, it shall not be necessary to prove the actual existence or occurrence of an economic effect or consequence if such effect or consequence would be reasonably expected to exist or occur. *City Code: § 2-7-2 (1)*

<sup>129</sup> Discretionary Authority means the power to exercise any judgment in a decision or action. *City Code: § 2-7-2 (5)*

<sup>130</sup> A substantial interest of a spouse of a City official or employee shall be deemed to apply to that official or employee for the purposes of Sections 2-7-63 (*Prohibition on Conflict of Interest*) and 2-7-64 (*Disclosure of Conflict of Interest*) concerning disclosure and recusal or reassignment. *City Code: § 2-7-65 (A)*



**§ 2-7-72 (E)** A City official shall include the following information by separate listing in the required statement of financial information, such information to include the source of income or assets and liabilities of their spouses but shall not require a separate report by such official's spouse:

- (2) If the official is a self-employed solo practitioner, or if the official owns or controls at least a five percent interest in a partnership, professional corporation or other entity through which the official does business, the official shall report the names and addresses of the clients or customers from whom the official, partnership, professional corporation, or other entity received at least 10 percent of its gross income or \$5,000 in salary, bonuses, commissions or professional fees; or \$20,000 in payment for goods, products or nonprofessional services of gross income during the reporting period.
- (13) All boards of directors of which the official is a member and the offices or executive positions which the official holds in corporations, partnerships, limited partnerships, professional corporations or other entities, including non-business entities, stating for each the name of the entity and the position held. There shall be excluded from this item positions on corporations or other entities owned by the City or created by the city council.



## VI. Investigative Standards

Investigations by the Office of the City Auditor are considered non-audit projects under the Government Auditing Standards and are conducted in accordance with the ethics and general standards (Chapters 1-3), procedures recommended by the Association of Certified Fraud Examiners (ACFE), and the ACFE Fraud Examiner's Manual. Investigations conducted also adhere to quality standards established by the Council of the Inspectors General on Integrity and Efficiency (CIGIE), Quality Standards for Investigations, and City Code.

The Office of the City Auditor, per City Code, may conduct investigations into fraud, abuse, or illegality that may be occurring.<sup>131</sup> If the City Auditor, through the Integrity Unit, finds that there is sufficient evidence to indicate that a material violation of a matter within the office's jurisdiction may have occurred, the City Auditor will issue an investigative report and provide a copy to the appropriate authority.

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<sup>131</sup> City Code requires the City Auditor to hire an external party to investigate allegations of City Code violations by a member of City Council, a member of City Council's direct staff, or the City Manager. *City Code*: § 2-3-5 (K)



## VII. Overview of HSSK and The Gober Group

HSSK is a professional services firm devoted to Valuation, Dispute Advisory and Forensics and Financial Advisory. The principals have been serving the corporate, legal and professional communities for over forty years and regularly assist clients before regulators and in the courtroom by providing financial forensic, consulting and expert witness services. HSSK's Jared Jordan and Travis Casner have significant experience on matters involving governmental and quasi-governmental entities including conducting fraud and financial forensic investigations, as well as evaluating allegations of conflicts of interest, accounting irregularities, misuse of funds, misappropriation of assets, embezzlement, breach of fiduciary duty and director, officer and employee misconduct.

The Gober Group is a national law firm that represents a diverse group of clients seeking to effectively engage in the political and public policy arenas at the federal, state, and local levels of government. The Gober Group's Ross Fischer has performed ethics-related legal work for a variety of public sector and nonprofit clients. This work has included internal ethics investigations, conflicts of interest analyses, procurement examinations, analysis of ethics complaints, and ethics compliance audits.



## VIII. Exhibits



## Meeting Minutes of the LHCF Board of Directors

### Meeting time 12pm 5/1/15

Roll call: Linda, Raul, Jill & Hector in attendance

Not present: Sal and Frank

Meeting called to order by Chairman: Hector Torres by 12:05pm

A quorum was met to accomplish important action items that required votes, outlined in the following minutes.

Board took a few minutes to review the meeting minutes of the last meeting; no questions, no discussion; motion by Jill to accept last meeting minutes and second by Linda Smith.

Ms Jill commented that although we do not have a written resignation from Frank we do have a verbal resignation and she made a motion to accept Frank's verbal resignation; seconded by Raul; board fully concurred to accept Frank Rodriguez's resignation from the LHCF Board of Directors effective Friday, April 17<sup>th</sup> there were none that opposed his resignation; since Frank Rodriguez will no longer sign checks it was agreed that bank signature authority be given to Jill Ramirez, CEO and Linda Smith, CAO

Linda made a motion for Ms Jill to be appoint CEO; seconded by Raul all in favor there were none that opposed the appointment. Additionally, Linda's title will change to Chief Administrative Officer.

Hector Torres presented the financial statements, balance sheet for 2014 and the profit and loss statements as well. Ms Jill commented on the importance of the financial statements being turned into CPA in order to submit certified audited financials to the City of Austin relative to programs.

Linda had questions about the content and its accuracy relative to the negative net income. Raul had questions with respect to revenue and timelines relative to projects and proposals. Linda raised questions about funding sources and diversity of activities relative to supporting the initiatives and organization overall. Further, discussions about the status of programs and accounts receivable and questions from Raul, relative to Foundation Communities and the future funding sources and collaboration.

Raul asked if the same funding sources would be available to the LHCF, Ms Jill discussed city fund and Sendero funds and timelines such as the Sendero September deadlines for some programs and initiatives.

Ms Jill makes a motion to accept financials and seconded by Raul.

#### General Discussion

Linda opened discussion relative to "Administration" on the agenda; she discussed adding Chelsea Brass to the staff, starting on Monday, May 4<sup>th</sup>. Jill had questions about her (Chelsea) working area, which will be worked out in a flexible, tele-worker (remote) situation setup as needed.

Linda stated that her (Chelsea's) compensation was adjusted to assure she was not "short" based on project deliverables that she met and exceeded. Chelsea brings added value to the staff relative to her work as campaign manager for Katrina Daniel who is chairman of Central Health. Linda added that we



have a new organizational chart based on shifting roles and responsibilities. Ms. Jill recommended adding the chart when going to the bank to make changes to the account.

Ms Jill recommends to table discussions on Project/Client review in Sal's absence. Linda pointed out that we could discuss the Project/Clients since Sal is technically not a board member. Ms Jill reported on Sendero projects. Sendero wants a full time position to be at Sendero to assist with case management with a specific focus on at risk pregnancies. Frances Acuna and Alexendra Castaneda each to work 20hrs each; they have been identified as the individuals for Sendero, they will review documentation relative to Mama Sana and other projects.

Ms jill reported on Carousel and its status through working with Dr Lightaker; project deliverables and results by end of December, as hoped by Dr Lightaker on Asthma; the importance or priority is completing the "IBR" reports for Dr Lightaker.

Raul recommends working more closely with CommunityCare and Carousel to a lesser extent. Raul had questions about the viability of Sendero relative to it being a major funding source and recommended diversifying with Seton or some other provider as well as Blue Cross Blue Shield. Ms. Jill further discussed the possibility of working with BCBS. Linda directed the focus of the conversation for the Federal Navigator Grant and pushing our efforts for those funds as a safe guard. Hector opened the discussion about timelines and deadlines relative to the aforementioned discussion; Jill commented on the timelines relative to ACA.

Raul had to leave early and wanted to ensure that he was present for the important motions and votes which took place towards the beginning of the meeting. All business that required votes were accomplished while in a quorum prior to Raul's departure to this meeting.

Hector discussed outreach meeting at Sendero from April 30<sup>th</sup> 3pm; Sendero staff members conveyed the request to have a more granular reporting system to reflect exact times and dates and hours that each LHCF member submits on a weekly basis. Further discussion was about event logistics relative to proper bilingual support at events. LHCF needs to more effectively schedule resources relative to the event, that is; staff accordingly based on the event and needs.

#### **City of Austin**

Administrative and Fiscal Review due by May 30<sup>th</sup>, since the deadline falls on a weekend, the due date gets pushed back to June 1<sup>st</sup>. Discussion will be tabled until Monday, 4<sup>th</sup> at the executive staff meeting with Sal.

#### **Rundberg**

Ms. Jill reported that we have not submitted committee forum report but now that we have had training and have access from the City of Austin on how to submit; the submittal will be complete by May 15<sup>th</sup>.

Ms. Jill have a meeting with Greg Casar about a resolution supporting the Rundberg initiatives. LHCF will report to the committee by last Thursday in May

#### **Huston-Tillotson**

Community leader questions have been sent out, including talking points; May 15<sup>th</sup> is deadline to submit reports and deliverables; deliverable dates for Huston-Tillotson have been accepted with an understanding of actionable items.



### **Center for Healthy Communities**

The recommendation is to move quickly to setup the "infrastructure" so it is ready to "tour" the facilities by the Mayor or other dignitaries; Jill will follow up with Ray Gaytan and Hector will follow up on web site and other social media resources; logo needs to be finalized. With special emphasis on **place based population health; health and health care integration and innovative collaborations**. Use as many infographics as possible, less text and more graphical representations. This would better serve the population we work with and providing this would assist with conveying the right message more effectively; too much text is less effective.

### **IBM**

Hector reported about the upcoming May 8<sup>th</sup> meeting with IBM at the north campus. Ms Jill commented that she could not make it for the morning session due to a conflict with UT's presentation. Hector continued about the expectations at the IBM meeting; IBM has informally expressed interest in a mutually beneficial arrangement such that LHCF obtains the technology it needs to support its goals, objectives and initiatives. IBM will seek the support of LHCF as well such as possibly supporting a Hackathon. A Hackathon is an event where "geeks", beginners, intermediate and expert developers solve a community problem with IBM technology and/or other innovative tools. LHCF would seek IBM resources in the form of financial support and industry experts to provide their knowledge and experience on what LHCF, via the CHC, should consider that the organization may not be considering already, that is, new and innovative ideas, processes, etc.

Ms. Jill had a question about BlueHub vs BlueMix; Hector explained that BlueHub is an Austin startup that focuses only on personal health information management for free to users with an option for a curated services for a fee. BlueMix is an IBM platform that is used to develop applications, web, mobile and other that is currently available to LHCF.

### **BlueHub Health**

Hector continued the discussion to explore the idea of an MOU or MOA between LHCF CHC and BlueHub. The idea is to integrate the BlueHub (personal health information management on the web) with the LHCF CHC mobile app. The focus is to translate the content into Spanish and make it culturally and linguistically competent to then seek funds for Promotores training. This can spring board other developments such as Text-to-Speech, natural language translation of content provided by client physicians or insurance providers, etc., appointment/scheduling compliance, drug compliance, geo-fencing, insurance education, telemedicine, tele-health, alert notifications, etc.

After the explanation and brief presentation Hector made a motion to explore possibility of a mutually beneficial arrangement with IBM and BlueHub; draft of agreements are to be shared with CEO Jill Ramirez and/or the board of directors for final approval. Timeline for IBM agreement would be longer compared to BlueHub; IBM might take until end of the year. BlueHub has a shorter turn around. Ms Jill asked what would a BlueHub Health and LHCF-CHC "look like"? The arrangement would begin with BlueHub being integrated with LHCF-CHC mobile app. Essentially, using both platforms together to educate the population to health insurance and health care records on these platforms. BlueHub and LHCF-CHC will collaboratively seek various funds to pay Promotores training. Ms. Jill wanted to ensure the general scope of the projects; Hector explained that LHCF-CHC is in the drivers seat with these projects thus far. The services from BlueHub are free but curated services will charged for a fee hopefully offset by Sendero or some other sponsor.

Ms. Jill makes a motion to explore the IBM and BlueHub technologies and a strong second by Linda Smith; all were in favor of exploring the aforementioned relationships.

#### **YOGA-Te!**

Hector presented the program and that 15% to LHCF for administrative fees/costs to manage the project. The application is due Friday, May 1<sup>st</sup>; additional considerations will be taken once the application is approved by A Glimmer of Hope.

Ms. Jill moves to adjourn the meeting; Linda moves for discussion on the motion relative to Linda's recommendation to extend an invitation to Dr. Elliot Truster to serve on the LHCF board of directors. Ms. Jill makes a motion to extend the invitation, Linda seconds all unanimously in favor of extending the invitation.

Ms. Jill moves to adjourn the meeting and Hector seconds to adjourn the meeting.

Board meeting adjourned at May 1<sup>st</sup> 1:50pm

## **Board Certification of Minutes and Financial Review**

I, Hector Torres, Chairman of the Board of Directors for the Latino HealthCare Forum, do hereby certify that the organization's financial audit report/financial review for fiscal year 2014 was reviewed and approved at a meeting of the Board of Directors held on the 1st day of May, 2015



Chairman, Board of Directors

May 1 2015  
Date



# Latino HealthCare Forum

## Board of Directors Meeting

### August 21, 2015

#### Agenda

#### Meeting Notes

- I. Chairman makes the Call to Order at 12:06am
- II. Roll Call. The Chairman makes a roll call indicting the following present members.  
  
Chairman: ( Yes ) Hector Torres  
Board Member: ( Yes ) Jill Ramirez  
Board Member: ( Yes ) Raul Castaneda (Via phone on way in)  
Board Member: ( Yes ) Linda Smith
- III. Quorum Called ( X ) Yes ( ) No
- IV. Introduction to new appointment to the Board: The Chairman introduces Mr. David Morales as a new board member prospect. Mr. Morales introduces himself and provides a background summary of his education, experience and current position with Travis County.  
  
The Chairman calls for a motion to appoint Mr. David Morales as a LHCF Board Member  
  
A motion is made by Mr. Castaneda for Mr. Morales to be appointed as a new LHCF board member. The motion was seconded by Jill Ramirez. The Chairman called for a vote on the resolution. The vote was unanimous in favor of appointment of Mr. Morales to the LHCF Board of Directors.  
  
Vote Results: All members present in favor – unanimous
- V. Chairman Torres then provided a quick review of Agenda Items to be covered. Chairman Torres goes over the agenda items to cover explaining the materials passed in the board members packets.
- VI. Chairman Torres asks for a review and approval of previous Minutes (July 2015) as well as (May 2015)  
  
Board Member Ramirez makes a motion to accept the minutes with a request to ask for corrections of spellings and grammer. Board Member Castaneda seconds the motion as

made. Chairman Torres calls for a vote on the motion to accept both the July and May minutes with corrections as noted.

The recorded vote is as: ( 5 ) Ayes ( 0 ) Nays. Unanimous in the acceptance of the board members present.

- VII. Finance Reviews: Board member Smith reviews current balances for LHCF and reports the balance on hand. Board member Smith discusses status of several projects that are still in progress and payments to be invoiced. Board member Smith then discusses the City of Austin's Annual Financial Review (AFR) and explains that Mr. Montemayor is here today to go over his Audit findings, their meaning and interpretation and their impact on the organization.

Board Member Castaneda asks and receives staff comments on the nature of the current Sendero Outreach efforts. He indicates that he has gotten feedback from unnamed individuals that LHCF is doing good work. The community focus and product value added were key notable elements.

Board member Smith indicates that Sendero is cutting back the LHCF funding/projects from \$600k to about half \$300K. Linda S reviews what the proposed funding will cover.

Board member Smith discusses various balances on hand and where that money is dedicated for. Board member Smith also discusses "soda project" possibilities.

Chairman Torres asks for a motion to approve the documentation provided by Board member Smith. Board member Ramirez makes a motion to accept the documentation by Board member Smith and the new Board member David Morales seconds the motion. All present vote Aye / No – No's.

Board member Ramirez then discusses the AFR and the role of Monteymayor Auditor and findings and their impact on the LHCF organization

Mr. Montemayor the Auditor discusses their Independent review based on General Accounting Principals.... The audit was based on a review of documents and operational guidelines standards to gain information about internal control issues. He indicated that there are several issues to focus on. These were as follows:

Segregation of Duties – cash/mail...ect. Policies / Procedures  
Material Adjustments – Cash overstated – Deposit entered twice.  
Deficiencies – 8 of 38 transactions lacked supporting documentation. (receipts)  
Formal development and adoption of Annual Budget  
Commission Payments to employees – critical element



Mr. Montemayor provided examples of ways of fraud is usually done in not for profit organizations. These include: Inappropriate check writing to inappropriate parties. Transfer of funds to an inappropriate party.

Chairman Torres and other board members then asked question relative to the audit findings, and action items. The auditor indicates that the results were generally good things, clean opinion, had a first audit. A full audit based on CPA standards. He further discusses of cost allocation processes that are normally acceptable. Activity and time relative allocation – a basis of documentation. Several items discussed: Accounting being done on a Cash Basis, the Adjustments made \$50K for a double entry. Understandable mistake. Given lack of instructions provided to the bookkeeper.

Financial Statements: Cash Basis. Need to identify what is acceptable to the CoA and other clients.

Chairman Torres asks for a motion to approve financial report, recommendations and findings per the Audit report and the Auditor's recommendation. Board member Smith T makes motion to adopt which is subsequently seconded by the Chairman Torres. Chairman Torres calls for a vote. Unanimous vote of all present to accept.

Chairman Torres then provides a discussion of draft documents relative to LHCF policies and procedures and other documents required as reflected in the COA AFR.. Specifically fiscal policies, conflict of interest policies, others/....Chairman Torres indicates that these will be emailed to all Board Members for review and possible adoption at the next board meeting.

#### VIII. Items to address/review

Chairman Torres speaks about upcoming activities: Hack A Thon event. Discusses time date and purpose of the effort relative to the Rundberg project.

Chairman Torres excuses himself at 1:30pm and Board member Ramirez takes over the meeting and discusses the Sendero Contract relative to the roles of community health workers.

Board member Ramirez discusses the transition into working more and more using the skills of the promotoras. Board member Ramirez talks about Sendero focusing on highest claims clients and the intervention role of the promotoras. Board member Ramirez indicates the various meeting to tune the scope of work that the promotoras would be doing. There are several projects... Dr. Litaker / focus on clients who use the ER the most (2 FTE's possible) later this year. Looking to use more and more of the DEEP training. The role of CHW using the pathways model with the NIH grant application – possibly in April 2016.

Board member Ramirez then discusses the projects with the COA. Rundberg and ACA. Board member Morales asks for access to the reports generated from those projects.

Board member Ramirez discusses the project with Huston Tillotson – Health and Wellness Center. Discusses the role of ATCIC and CommunityCare Clinic. Its focus is on Mental Health and discusses our role in the development of a community driven plan.

Board member Ramirez then discusses the Center for Healthy Communities and its potential role and services. Want to reach and serve more than just the Hispanic community. There are many more ethnic/cultural groups that need to be advocated for and supported.

Board Member Morales offers to help craft promotora policies and procedures based on his organizational experience. Offers to form working group to work on these elements of the AFR.

Board member Smith then speaks of the upcoming Quarterly Meeting ... Set for next quarter Oct/Nov/Dec. No date set at this time.

Board Member Castaneda motions to adjourn, Board Member Ramirez seconds all present voite aye.... The LHCF Board Meeting is adjourned at 1:57pm







**Latino HealthCare Forum  
Board of Directors Special-Called Meeting  
September 25, 2015 @ 1pm**

**Called meeting to order 1:03pm Fri., September 25, 2015 @ LHCF**

- I. Establish Quorum
- II. Roll Call, Members in Attendance
  - a. Attending in person:
    - i. Hector Torres
    - ii. Jill Ramirez
    - iii. Linda Smith
    - iv. Jose Orta
    - v. David Morales
    - vi. Raul Casteñeda
  - b. Attending via phone call:
    - i. Tony Rosas
    - ii. Gloria Perez-Stewart
- III. Board Member Review and Acceptance to Replace Outgoing Members RE: new organizational policy
  - i. Chair Torres explained the purpose of the special-called meeting.
  - ii. Introductions of old and prospective members, giving background as related to board membership.
  - iii. Member David Morales made motion to remove Members Jill Ramirez, Linda Smith and Hector Torres from the board.
  - iv. Member Casteñeda seconds the motion, then a brief discussion before vote.
  - v. Motion passes unanimously.
- IV. Board Member Appointments
  - i. Member David Morales motioned to appoint Tony Rosas, Gloria Perez-Stewart, and Jose Orta to the board. Motion passed unanimously.

- ii. New Member Jose Orta nominated Member Raul Casteñeda, new Member David Morales made the motion to appoint Member Raul Casteñeda as the board chair, and new Member Jose Orta seconds the motion. Motion passed unanimously.
- iii. New Chair Raul Casteñeda expressed willingness to serve and offers full support the Latino HealthCare Forum, and encouraged everyone to do the same.

## V. Resolutions

- a. Amend by-laws RE: board member composition
  - i. Member Jose Orta makes motion to amend Article 5.2.
  - ii. Member Gloria Perez-Stewart seconds.
  - iii. Motion passed – board accepts amendment to by-laws.
- b. Approve Updated Document: LHCF Financial and Fiduciary Table
- c. Approve Updated Document: LHCF Fiscal Policy
- d. Approve Updated Document: LHCF Conflict of Interest Policy
- e. Approve Updated Document: LHCF Disaster Recovery and Business Continuity Plan
- f. Approve Updated Document: LHCF Sustainability Strategy
- g. Approve Updated Document: LHCF Succession Plan 2015
  - i. Member Jose Orta made motion to accept the updated documents.
  - ii. Member Gloria Perez-Stewart seconded the motion.
  - iii. Member Jose Orta requested a CPA audit and a copy for all board members.
  - iv. Motion passes unanimously.

## II. Other Discussion – Next Meeting

- i. Chair Raul Casteñeda requested an October meeting with 2 agenda items:
  - 1. Update on grants and contracts
  - 2. Orientation from staff to brief board members on organization's current activities
- ii. Board agrees on October 30<sup>th</sup> at noon for next meeting.
- iii. Member Jose Orta Jose suggests that documents be shared with the navigator grantors as a courtesy and for the record.

## III. Adjourn

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Board Chairman Raul Castaneda

Date



# latino healthcare forum

## Minutes of the LHCF Board of Director's Meeting

December 11, 2015

The LHCF Board of Director's met at the Board Room of the LHCF Office, 6601 Felix Ave. in Austin, Texas.

Raul Castaneda, Board Chair of the LHCF called the meeting to order at 12:06 PM.

I. Roll and Quorum: Jose Orta, Secretary took roll.

Raul Castaneda – Present. David Morales – Present. Jose Orta – Present. Gloria Perez-Stewart – Present. Tony Rosas – Absent. Also present: Jill Ramirez, CEO.

A Statutory quorum was present.

II. Approval of Minutes: Jill Ramirez, CEO, passed out the November 6, 2015 Minutes.

Discussion ensued on who actually made the motions as recorded in the minutes. The minutes as written do not reflect who made the motioned and whether or not the motions passed. The minutes were amended as follows:

- Motion ratifying meeting schedule and the exclusion of staff members being Board Members. Motion made by Raul Castaneda. 2<sup>nd</sup> by Gloria Perez-Stewart. Motion passed.
- Motion ratifying adoption of Organization policies. Motion made by Jose Orta. 2<sup>nd</sup> by David Morales. Motion passed.
- Motion ratifying/authorizing operational budget and contractual agreements. Motion made by Gloria Perez-Stewart. 2<sup>nd</sup> by Raul Castaneda. Motion passed.
- Motion establishing line of Credit. Motion made by Jose Orta. 2<sup>nd</sup> by Raul Castaneda. Motion passed.

David Morales motioned to approve the Minutes as amended. It was 2<sup>nd</sup> by Gloria Perez-Stewart. Approved

III. Signing of Official Documents: Jill Ramirez, CEO, passed out the following documents: Amended Bylaws, LHCF Conflict of Interest Policy, and LHCF Fiscal Controls, Policies and Procedures. They were previously emailed to all Board Members for review. Board members present signed each document. These signed documents will be filed in each Board Member's respective files.

IV. CEO Report: Jill Ramirez, CEO provided:



- An overview of LHCF past year accomplishments,
- The 2016 and Current Work Plan,
- Reported on current Financial Audit
- Provided an update of staffing/BOD issues
- Current/possible funding/grant sources
- Discussed the possibility of an alliance with emPoder

- V. Financial Report: Jill Ramirez, CEO provided financial copies for review: LHCF Profit/Loss Handout for Nov. 2015 and the FY16 Projected Program Budget.

Jose Orta made the motion approving the FY16 Projected Program Budget as presented. It was 2<sup>nd</sup> by David Morales. Motion passed.

- VI. Old Business: Jill Ramirez asked that the LHCF Board of Directors discuss creating a policy related to bidding for work over \$25,000.00.

Jose Orta agreed that he would research and provide a draft policy. It was agreed that this would be sent to Jill Ramirez for revision and once revised would be sent via email to the LHCF Board for discussion and ultimate approval via email.

- VII. New Business: None.

Jose Orta moved to adjourn the meeting. It was 2<sup>nd</sup> by David Morales. Approved.  
Meeting Adjourned at 2:00 PM.

The next meeting is scheduled for Friday, March 4th at the Board Room of the LHCF Office, 6601 Felix Ave. in Austin, Texas.

\_\_\_\_\_  
Jose Orta, Secretary  
LHCF Board Of Directors

\_\_\_\_\_  
Date of approval

Policy Name: Procurement Sole Source/Competitive Bid Policy

Updated/Reviewed: Dec. 12, 2015

Effective Date: Dec. 20, 2015

Office with Primary Responsibility: Chief Executive Officer

Offices with Secondary Responsibility: LHCF designated Administrator

### Policy Summary

This policy will outline the requirements for competitive bids on goods and services purchased by the LHCF.

### Reason for Policy

The Chief Executive Officer is responsible for the procurement of materials, equipment and services from the most reliable sources. The procurement process involves researching and negotiating with vendors to acquire the products at the best competitive pricing, while considering quality, delivery and service. This policy calls for obtaining the competitive bids based on prices and other pertinent factors related to the specific purchase. The policy explains the three threshold levels that have been established to promote competitive bidding and increase efficiency of the procurement process. The policy also includes the process for making sole source purchases.

Scope: Who should know this policy?

Any employee responsible for procuring or paying for goods or services, including administrative personnel and the LHCF Board.

### Policy Statement

#### Overview

Good business practice and the responsibility for the expenditure of LHCF funds requires a policy obtaining competitive bids/quotations. Purchases shall be made on the basis of competitive prices, considering quality, suitability, delivery and service. College policy requires acceptance of the best bid. When determining the best bid, prices and other factors are to be considered.

To ensure objectivity and eliminate unfair competitive advantage, suppliers (i.e., vendors) who participate in the development or drafting of specifications, requirements, requests for quotes or proposals must be excluded from competing for such purposes.

To avoid potential conflicts of interest, no employee, officer, or agent of LHCF should participate in the selection, award, or administration of purchases or contracts in which, to his or her knowledge, the employee, immediate family, or partner has a financial interest in the supplier's organization.

The following guidelines have been established to promote competitive bidding. Requestors should realize that these are \*minimum\* requirements and that bids or price comparisons should be solicited, whenever the goods or services can be purchased, from several different, responsible suppliers.



## Procedures

The procedures vary depending on the dollar threshold of the goods or services being procured. In general, documentation of quotes or results of bids (vendors that participated, price comparisons, justification for selected vendor, or other relevant information) must be submitted with requisition requests to establish payment process for the vendor. If the good or service can only be purchased from a single source or when the supplier offering the lowest bid is not accepted, the Chief Executive Officer should create a written, clear, but concise statement that justifies waiving the competitive bidding process.

### Purchases up to and including \$2,000.00

For purchases less than or equal to \$1,999.00, requestors should follow their own judgment in identifying potential suppliers. If the goods or services can be obtained from a contracted/preferred supplier, it is required that the requestor purchase from this source.

### Purchases between \$2,000.00 and \$24,999.00

All purchases between \$2,000.00 and \$24,999.00 require at least three (3) quotations be obtained from suppliers/contractors. All quotations must be in written form so they can be attached to the requisition. If there are limited sources of supply or the low bid is found unacceptable because of some factual circumstance, the Chief Executive Officer should write a clear, concise, and factual justification for not accepting the lowest bid. If the requestor is unable to identify three suppliers, the Chief Executive Officer should be contacted to assist in identifying additional suppliers.

### Purchases over \$25,000

All purchases over \$25,000 require the Chief Executive Officer to conduct a more formal bid process. Administrative staff will work with the CEO to directly solicit bids and provide a tabulation of bids for the LHCF Board of Director's review and evaluation.

### Exceptions to Competitive Bid Policy

There are a few circumstances and items excluded - in all or part from the competitive bid policy. Failing to anticipate needs resulting from poor planning is not an exception to this policy.

Certain situations which may justify purchases without following the competitive bid procedures are as follows:

#### Emergency purchases when:

- Human life, health or LHCF property is in jeopardy.
- Repairs of equipment/property involve hidden dangers.
- Repairs are immediately needed for equipment/property where delay would lead to higher expense.
- Items which are proprietary (software, etc.).
- Design compatibility with existing equipment.



The cognizant administrator should submit a written, clear, but concise statement that justifies waiving the competitive bidding process. Final responsibility in determining whether an item is a proprietary item and may be purchased from a sole source rests with the Chief Executive Officer.

### Sole Source Purchases

A sole source purchase is one where a good or service can only be purchased from a single source. This situation makes it impossible to obtain competitive bids. The requisitioning administrator shall furnish documentation to justify why the technical characteristics inherent in the item make it essential to purchase the particular good or service. Written documentation of some form of price or cost analysis is required on all sole source purchases with an aggregate expenditure in excess of \$10,000. Appropriate documentation may include copies of published price lists, advertised pricing in established magazines, journals, and newspapers, and similar indices. Final responsibility in determining whether an item is a proprietary item and may be purchased from a sole source rests with the Chief Executive Officer.

### Solicitations for Quotes

Solicitations for quotes shall set forth all requirements that the bidder must fulfill for their bid to be evaluated by the LHCF. Solicitations should be based upon a clear and accurate description of the technical requirements and services being sought. Complete information should be provided including but not limited to, quantity, description, delivery requirement, special conditions, drawings, specifications, bid due date and time. Specifications or requirements should not unduly restrict competition. Whenever a "brand name or equal" description is used to define performance or other salient requirements, the specific features of the named brand must be clearly specified.

### Evaluating Bids

When evaluating quotes, consideration may be given but not necessarily limited to, the following: price, bidder's previous record of performance and service, ability of bidder to render satisfactory service in this instance (i.e., training, maintenance and repairs), availability of bidder's representative to call upon and consult with the end users, quality and conformance to specifications, delivery schedule, life expectancy, warranty and disposal value.

### Notification

Unsuccessful vendors shall be notified that the bid is closed and awarded. It is not necessary to note the successful bidder. The LHCF reserves the right to reject any bids, waive informalities and award the contract in the best interests of the LHCF.

### Exclusions / Exceptions

See "Exceptions to Competitive Bid Policy" and "Sole Source Purchases" sections included in the Policy Statement.

### Ramifications if policy is breached

If this policy is breached, the LHCF is at risk for not passing its audits from various auditing agencies. This could affect the amount of grant money or compliance with federal, state, and local legal and reporting requirements.

**From:** Rodriguez, Frank  
**To:** [Mayor Adler](#)  
**Cc:** [Cortez, John Michael](#); [Rudy, Kirk](#)  
**Subject:** Sendero article - AAS front page - November 18  
**Date:** Wednesday, November 18, 2015 9:48:08 AM

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Today's front page article about Central Health's Sendero Health Plan discusses issues in their relationship. Reading the article you might think that the Health Plan is not viable, but there is a community need for a nonprofit, community based health plan that is focused also on preventive health. As a start up health plan there were capital requirements planned and a breakeven scheduled for two years out. However, medicaid expansion didn't occur as anticipated, so the breakeven was pushed out further. These capital requirements were budgeted and anticipated.

However, the article doesn't explicitly explain that most of Sendero's losses (over 80%) are a result of Seton's high medicaid prices for their inpatient services. These high prices were negotiated by Central Health management at the inception of the Sendero Health Plan. When the new management at Sendero came in a year ago, the first thing they did was try to re-negotiate the medicaid rates with Seton. The rates were out of market at over 250% of medicaid rates. Sendero's new management felt compelled to terminate their contract with Seton in spite of lack of support from Central Health management. Complicating this is that Seton runs their own health plan so they are a competitor with Sendero. At one time I suggested a merger of health plans but Seton was not open to this. (Disclosure: I was a founding board member of Sendero and Vice-Chair of Central Health.) Sendero has now negotiated inpatient services with St.David's a competitor of Seton, so this has inflamed the situation and Sendero now anticipates reaching a breakeven point sooner.

In the last few months, there have been at least 8 articles about Central Health issues, most of these relating to insufficient service delivery, lack of transparency, lack of financial oversight, possible termination of federal funding, etc. Now this article about Sendero. You are going to start seeing more community "noise" on these issues soon.

As we've discussed, an action plan is needed by the City and County who each appoint half of the board members. There are many opportunities to weld health and health care to be delivered more efficiently and effectively through Central Health. The first step is getting the "right" board members, and then setting an agenda that incorporates City, County and Community goals. I have some ideas on this. FMR

<http://tablet.olivesoftware.com/Olive/Tablet/AustinAmericanStatesman/Default.aspx>

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Frank Rodriguez  
Senior Policy Advisor, Mayor's Office  
P.O. Box 1271  
Austin Texas 78767  
512-585-7185

































































## Return of Organization Exempt From Income Tax

Under section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code (except private foundations)

- ▶ Do not enter social security numbers on this form as it may be made public.  
▶ Information about Form 990 and its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990).

2014

Open to Public Inspection

Department of the Treasury  
Internal Revenue Service

## A For the 2014 calendar year, or tax year beginning , 2014, and ending ,

B Check if applicable <input type="checkbox"/> Address change <input type="checkbox"/> Name change <input type="checkbox"/> Initial return <input type="checkbox"/> Final return/terminated <input type="checkbox"/> Amended return <input type="checkbox"/> Application pending	C Name of organization <b>Latino HealthCare Forum</b>		D Employer identification number <b>46-1170748</b>
	Doing business as		E Telephone number <b>(512) 585-7185</b>
	Number and street (or P.O. box if mail is not delivered to street address) Room/suite <b>P.O. Box 1271</b>		
	City or town, state or province, country, and ZIP or foreign postal code <b>Austin TX 78767</b>		G Gross receipts \$ <b>711,454.</b>
	F Name and address of principal officer <b>Jill Ramirez P.O. Box 1271 Austin TX 78767</b>		H(a) Is this a group return for subordinates? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No H(b) Are all subordinates included? If "No," attach a list (see instructions) <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
I Tax-exempt status <input checked="" type="checkbox"/> 501(c)(3) <input type="checkbox"/> 501(c) ( ) (insert no) <input type="checkbox"/> 4947(a)(1) or <input type="checkbox"/> 527		H(c) Group exemption number ▶	
J Website: ▶ <b>N/A</b>			
K Form of organization <input checked="" type="checkbox"/> Corporation <input type="checkbox"/> Trust <input type="checkbox"/> Association <input type="checkbox"/> Other ▶		L Year of formation <b>2011</b> M State of legal domicile <b>TX</b>	

## Part I Summary

Activities & Governance	1 Briefly describe the organization's mission or most significant activities: <b>The Latino HealthCare Forum's mission is to reduce racial and ethnic health disparities. The LHCF vision is to support a nation free of disparities in health and healthcare. (continued on Schedule O)</b>		
	2 Check this box <input type="checkbox"/> if the organization discontinued its operations or disposed of more than 25% of its net assets		
	3 Number of voting members of the governing body (Part VI, line 1a) . . . . .	<b>3</b>	<b>5</b>
	4 Number of independent voting members of the governing body (Part VI, line 1b) . . . . .	<b>4</b>	<b>5</b>
	5 Total number of individuals employed in calendar year 2014 (Part V, line 2a) . . . . .	<b>5</b>	<b>58</b>
	6 Total number of volunteers (estimate if necessary) . . . . .	<b>6</b>	<b>1</b>
	7a Total unrelated business revenue from Part VIII, column (C), line 12 . . . . .	<b>7a</b>	
b Net unrelated business taxable income from Form 990-T, line 34 . . . . .	<b>7b</b>	<b>0.</b>	
Revenue	8 Contributions and grants (Part VIII, line 1h) . . . . .	Prior Year <b>332,015.</b>	Current Year <b>711,454.</b>
	9 Program service revenue (Part VIII, line 2g) . . . . .		
	10 Investment income (Part VIII, column (A), lines 3, 4, and 7d) . . . . .		
	11 Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e) . . . . .		
	12 Total revenue - add lines 8 through 11 (must equal Part VIII, column (A), line 12) . . . . .	<b>332,015.</b>	<b>711,454.</b>
Expenses	13 Grants and similar amounts paid (Part IX, column (A), lines 1-3) . . . . .		
	14 Benefits paid to or for members (Part IX, column (A), line 4) . . . . .		
	15 Salaries, other compensation, employee benefits (Part IX, column (A), lines 5-10) . . . . .	<b>119,426.</b>	<b>565,248.</b>
	16a Professional fundraising fees (Part IX, column (A), line 11e) . . . . .		
	b Total fundraising expenses (Part IX, column (D), line 25) ▶ <b>7,523.</b>		
	17 Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e) . . . . .	<b>109,035.</b>	<b>198,125.</b>
	18 Total expenses Add lines 13-17 (must equal Part IX, column (A), line 25) . . . . .	<b>228,461.</b>	<b>763,373.</b>
19 Revenue less expenses. Subtract line 18 from line 12 . . . . .	<b>103,554.</b>	<b>-51,919.</b>	
Net Assets or Fund Balance	20 Total assets (Part X, line 16) . . . . .	Beginning of Current Year <b>104,004.</b>	End of Year <b>60,607.</b>
	21 Total liabilities (Part X, line 26) . . . . .	<b>0.</b>	
	22 Net assets or fund balances Subtract line 21 from line 20 . . . . .	<b>104,004.</b>	<b>60,607.</b>

## Part II Signature Block

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than officer) is based on all information of which preparer has any knowledge.

Sign Here	Signature of officer <b>Jill Ramirez</b> Date				
	Type or print name and title <b>Jill Ramirez President/CEO</b>				
Paid Preparer Use Only	Print/Type preparer's name	Preparer's signature	Date	Check <input type="checkbox"/> if self-employed	PTIN
	<b>Arturo Montemayor III</b>	<b>[Signature]</b>	<b>09/23/15</b>		<b>P01388530</b>
	Firm's name ▶ <b>Montemayor Hill Britton &amp; Bender, PC</b>			Firm's EIN ▶ <b>74-2902112</b>	
	Firm's address ▶ <b>2525 Wallingwood Drive, Bldg 1, Ste 200 Austin TX 78746</b>			Phone no <b>(512) 442-0380</b>	

May the IRS discuss this return with the preparer shown above? (see instructions) ☒ Yes ☐ No



**Part III Statement of Program Service Accomplishments**Check if Schedule O contains a response or note to any line in this Part III ☒ **X****1** Briefly describe the organization's mission.

The Latino HealthCare Forum's mission is to reduce racial and ethnic health disparities. The LHCF  
See Form 990, Page 2, Part III, Line 1 (continued)

**2** Did the organization undertake any significant program services during the year which were not listed on the prior Form 990 or 990-EZ? ☐ Yes ☒ No

If 'Yes,' describe these new services on Schedule O

**3** Did the organization cease conducting, or make significant changes in how it conducts, any program services? ☐ Yes ☒ No

If 'Yes,' describe these changes on Schedule O

**4** Describe the organization's program service accomplishments for each of its three largest program services, as measured by expenses. Section 501(c)(3) and 501(c)(4) organizations are required to report the amount of grants and allocations to others, the total expenses, and revenue, if any, for each program service reported**4 a** (Code ) (Expenses \$ 38,202. including grants of \$ 0.) (Revenue \$ 0.)

The Latino HealthCare Forum (LHCF) provided outreach education, and enrollment services for the Affordable Care Act's Insurance Marketplace. The LHCF as a consumer focused non-profit group provided public education activities to raise awareness of the availability of qualified health plans; distributed fair and impartial information about enrollment in qualified health plans and the availability of premium tax credits; facilitated enrollment in qualified health plans; provided referrals to appropriate agencies for public insurance assistance; and provided information in a culturally and linguistically manner.

**4 b** (Code ) (Expenses \$ 578,499. including grants of \$ 0.) (Revenue \$ 0.)

The LHCF provides health promotion services to the vulnerable population to assist them with tools and resources in self-managing their health and healthcare.

**4 c** (Code ) (Expenses \$ including grants of \$ ) (Revenue \$ )**4 d** Other program services (Describe in Schedule O.)

(Expenses \$ including grants of \$ ) (Revenue \$ )

**4 e** Total program service expenses 616,701.

**Part IV Checklist of Required Schedules**

	Yes	No
1 Is the organization described in section 501(c)(3) or 4947(a)(1) (other than a private foundation)? If 'Yes,' complete Schedule A. . . . .	1	X
2 Is the organization required to complete Schedule B, Schedule of Contributors (see instructions)? . . . . .	2	X
3 Did the organization engage in direct or indirect political campaign activities on behalf of or in opposition to candidates for public office? If 'Yes,' complete Schedule C, Part I. . . . .	3	X
4 <b>Section 501(c)(3) organizations.</b> Did the organization engage in lobbying activities, or have a section 501(h) election in effect during the tax year? If 'Yes,' complete Schedule C, Part II. . . . .	4	X
5 Is the organization a section 501(c)(4), 501(c)(5), or 501(c)(6) organization that receives membership dues, assessments, or similar amounts as defined in Revenue Procedure 98-19? If 'Yes,' complete Schedule C, Part III. . . . .	5	X
6 Did the organization maintain any donor advised funds or any similar funds or accounts for which donors have the right to provide advice on the distribution or investment of amounts in such funds or accounts? If 'Yes,' complete Schedule D, Part I. . . . .	6	X
7 Did the organization receive or hold a conservation easement, including easements to preserve open space, the environment, historic land areas, or historic structures? If 'Yes,' complete Schedule D, Part II. . . . .	7	X
8 Did the organization maintain collections of works of art, historical treasures, or other similar assets? If 'Yes,' complete Schedule D, Part III. . . . .	8	X
9 Did the organization report an amount in Part X, line 21, for escrow or custodial account liability, serve as a custodian for amounts not listed in Part X, or provide credit counseling, debt management, credit repair, or debt negotiation services? If 'Yes,' complete Schedule D, Part IV. . . . .	9	X
10 Did the organization, directly or through a related organization, hold assets in temporarily restricted endowments, permanent endowments, or quasi-endowments? If 'Yes,' complete Schedule D, Part V. . . . .	10	X
11 If the organization's answer to any of the following questions is 'Yes,' then complete Schedule D, Parts VI, VII, VIII, IX, or X as applicable		
a Did the organization report an amount for land, buildings and equipment in Part X, line 10? If 'Yes,' complete Schedule D, Part VI. . . . .	11 a	X
b Did the organization report an amount for investments — other securities in Part X, line 12 that is 5% or more of its total assets reported in Part X, line 16? If 'Yes,' complete Schedule D, Part VII. . . . .	11 b	X
c Did the organization report an amount for investments — program related in Part X, line 13 that is 5% or more of its total assets reported in Part X, line 16? If 'Yes,' complete Schedule D, Part VIII. . . . .	11 c	X
d Did the organization report an amount for other assets in Part X, line 15 that is 5% or more of its total assets reported in Part X, line 16? If 'Yes,' complete Schedule D, Part IX. . . . .	11 d	X
e Did the organization report an amount for other liabilities in Part X, line 25? If 'Yes,' complete Schedule D, Part X. . . . .	11 e	X
f Did the organization's separate or consolidated financial statements for the tax year include a footnote that addresses the organization's liability for uncertain tax positions under FIN 48 (ASC 740)? If 'Yes,' complete Schedule D, Part X. . . . .	11 f	X
12 a Did the organization obtain separate, independent audited financial statements for the tax year? If 'Yes,' complete Schedule D, Parts XI, and XII. . . . .	12 a	X
b Was the organization included in consolidated, independent audited financial statements for the tax year? If 'Yes,' and if the organization answered 'No' to line 12a, then completing Schedule D, Parts XI and XII is optional. . . . .	12 b	X
13 Is the organization a school described in section 170(b)(1)(A)(ii)? If 'Yes,' complete Schedule E. . . . .	13	X
14 a Did the organization maintain an office, employees, or agents outside of the United States? . . . . .	14 a	X
b Did the organization have aggregate revenues or expenses of more than \$10,000 from grantmaking, fundraising, business, investment, and program service activities outside the United States, or aggregate foreign investments valued at \$100,000 or more? If 'Yes,' complete Schedule F, Parts I and IV. . . . .	14 b	X
15 Did the organization report on Part IX, column (A), line 3, more than \$5,000 of grants or other assistance to or for any foreign organization? If 'Yes,' complete Schedule F, Parts II and IV. . . . .	15	X
16 Did the organization report on Part IX, column (A), line 3, more than \$5,000 of aggregate grants or other assistance to or for foreign individuals? If 'Yes,' complete Schedule F, Parts III and IV. . . . .	16	X
17 Did the organization report a total of more than \$15,000 of expenses for professional fundraising services on Part IX, column (A), lines 6 and 11e? If 'Yes,' complete Schedule G, Part I (see instructions). . . . .	17	X
18 Did the organization report more than \$15,000 total of fundraising event gross income and contributions on Part VIII, lines 1c and 8a? If 'Yes,' complete Schedule G, Part II. . . . .	18	X
19 Did the organization report more than \$15,000 of gross income from gaming activities on Part VIII, line 9a? If 'Yes,' complete Schedule G, Part III. . . . .	19	X
20 a Did the organization operate one or more hospital facilities? If 'Yes,' complete Schedule H. . . . .	20	X
b If 'Yes' to line 20a, did the organization attach a copy of its audited financial statements to this return? . . . . .	20 b	

**Part IV Checklist of Required Schedules (continued)**

	Yes	No
<b>21</b> Did the organization report more than \$5,000 of grants or other assistance to any domestic organization or domestic government on Part IX, column (A), line 1? <i>If 'Yes,' complete Schedule I, Parts I and II</i> . . . . .		X
<b>22</b> Did the organization report more than \$5,000 of grants or other assistance to or for domestic individuals on Part IX, column (A), line 2? <i>If 'Yes,' complete Schedule I, Parts I and III</i> . . . . .		X
<b>23</b> Did the organization answer 'Yes' to Part VII, Section A, line 3, 4, or 5 about compensation of the organization's current and former officers, directors, trustees, key employees, and highest compensated employees? <i>If 'Yes,' complete Schedule J</i> . . . . .		X
<b>24a</b> Did the organization have a tax-exempt bond issue with an outstanding principal amount of more than \$100,000 as of the last day of the year, that was issued after December 31, 2002? <i>If 'Yes,' answer lines 24b through 24d and complete Schedule K. If 'No,' go to line 25a</i> . . . . .		X
<b>24b</b> Did the organization invest any proceeds of tax-exempt bonds beyond a temporary period exception? . . . . .		
<b>24c</b> Did the organization maintain an escrow account other than a refunding escrow at any time during the year to defease any tax-exempt bonds? . . . . .		
<b>24d</b> Did the organization act as an 'on behalf of' issuer for bonds outstanding at any time during the year? . . . . .		
<b>25a</b> <b>Section 501(c)(3), 501(c)(4), and 501(c)(29) organizations.</b> Did the organization engage in an excess benefit transaction with a disqualified person during the year? <i>If 'Yes,' complete Schedule L, Part I</i> . . . . .		X
<b>25b</b> Is the organization aware that it engaged in an excess benefit transaction with a disqualified person in a prior year, and that the transaction has not been reported on any of the organization's prior Forms 990 or 990-EZ? <i>If 'Yes,' complete Schedule L, Part I</i> . . . . .		X
<b>26</b> Did the organization report any amount on Part X, line 5, 6, or 22 for receivables from or payables to any current or former officers, directors, trustees, key employees, highest compensated employees, or disqualified persons? <i>If 'Yes,' complete Schedule L, Part II</i> . . . . .		X
<b>27</b> Did the organization provide a grant or other assistance to an officer, director, trustee, key employee, substantial contributor or employee thereof, a grant selection committee member, or to a 35% controlled entity or family member of any of these persons? <i>If 'Yes,' complete Schedule L, Part III</i> . . . . .		X
<b>28</b> Was the organization a party to a business transaction with one of the following parties (see Schedule L, Part IV instructions for applicable filing thresholds, conditions, and exceptions)		
<b>28a</b> A current or former officer, director, trustee, or key employee? <i>If 'Yes,' complete Schedule L, Part IV</i> . . . . .		X
<b>28b</b> A family member of a current or former officer, director, trustee, or key employee? <i>If 'Yes,' complete Schedule L, Part IV</i> . . . . .		X
<b>28c</b> An entity of which a current or former officer, director, trustee, or key employee (or a family member thereof) was an officer, director, trustee, or direct or indirect owner? <i>If 'Yes,' complete Schedule L, Part IV</i> . . . . .		X
<b>29</b> Did the organization receive more than \$25,000 in non-cash contributions? <i>If 'Yes,' complete Schedule M</i> . . . . .		X
<b>30</b> Did the organization receive contributions of art, historical treasures, or other similar assets, or qualified conservation contributions? <i>If 'Yes,' complete Schedule M</i> . . . . .		X
<b>31</b> Did the organization liquidate, terminate, or dissolve and cease operations? <i>If 'Yes,' complete Schedule N, Part I</i> . . . . .		X
<b>32</b> Did the organization sell, exchange, dispose of, or transfer more than 25% of its net assets? <i>If 'Yes,' complete Schedule N, Part II</i> . . . . .		X
<b>33</b> Did the organization own 100% of an entity disregarded as separate from the organization under Regulations sections 301.7701-2 and 301.7701-3? <i>If 'Yes,' complete Schedule R, Part I</i> . . . . .		X
<b>34</b> Was the organization related to any tax-exempt or taxable entity? <i>If 'Yes,' complete Schedule R, Part II, III, or IV, and Part V, line 1</i> . . . . .		X
<b>35a</b> Did the organization have a controlled entity within the meaning of section 512(b)(13)? . . . . .		X
<b>35b</b> If 'Yes' to line 35a, did the organization receive any payment from or engage in any transaction with a controlled entity within the meaning of section 512(b)(13)? <i>If 'Yes,' complete Schedule R, Part V, line 2</i> . . . . .		
<b>36</b> <b>Section 501(c)(3) organizations.</b> Did the organization make any transfers to an exempt non-charitable related organization? <i>If 'Yes,' complete Schedule R, Part V, line 2</i> . . . . .		X
<b>37</b> Did the organization conduct more than 5% of its activities through an entity that is not a related organization and that is treated as a partnership for federal income tax purposes? <i>If 'Yes,' complete Schedule R, Part VI</i> . . . . .		X
<b>38</b> Did the organization complete Schedule O and provide explanations in Schedule O for Part VI, lines 11b and 19? <b>Note.</b> All Form 990 filers are required to complete Schedule O . . . . .	X	

BAA

Form 990 (2014)

**Part V Statements Regarding Other IRS Filings and Tax Compliance**Check if Schedule O contains a response or note to any line in this Part V ☐

		Yes	No
<b>1 a</b> Enter the number reported in Box 3 of Form 1096. Enter -0- if not applicable . . . . .	<b>1 a</b> 14		
<b>b</b> Enter the number of Forms W-2G included in line 1a. Enter -0- if not applicable . . . . .	<b>1 b</b> 0		
<b>c</b> Did the organization comply with backup withholding rules for reportable payments to vendors and reportable gaming (gambling) winnings to prize winners? . . . . .	<b>1 c</b>		
<b>2 a</b> Enter the number of employees reported on Form W-3, Transmittal of Wage and Tax Statements, filed for the calendar year ending with or within the year covered by this return . . . . .	<b>2 a</b> 58		
<b>b</b> If at least one is reported on line 2a, did the organization file all required federal employment tax returns? . . . . .	<b>2 b</b>	X	
<b>Note.</b> If the sum of lines 1a and 2a is greater than 250, you may be required to e-file (see instructions)			
<b>3 a</b> Did the organization have unrelated business gross income of \$1,000 or more during the year? . . . . .	<b>3 a</b>		X
<b>b</b> If 'Yes,' has it filed a Form 990-T for this year? If 'No,' to line 3b, provide an explanation in Schedule O . . . . .	<b>3 b</b>		
<b>4 a</b> At any time during the calendar year, did the organization have an interest in, or a signature or other authority over, a financial account in a foreign country (such as a bank account, securities account, or other financial account)? . . . . .	<b>4 a</b>		X
<b>b</b> If 'Yes,' enter the name of the foreign country ▶ See instructions for filing requirements for FinCEN Form 114, Report of Foreign Bank and Financial Accounts (FBAR)			
<b>5 a</b> Was the organization a party to a prohibited tax shelter transaction at any time during the tax year? . . . . .	<b>5 a</b>		X
<b>b</b> Did any taxable party notify the organization that it was or is a party to a prohibited tax shelter transaction? . . . . .	<b>5 b</b>		X
<b>c</b> If 'Yes,' to line 5a or 5b, did the organization file Form 8886-T? . . . . .	<b>5 c</b>		
<b>6 a</b> Does the organization have annual gross receipts that are normally greater than \$100,000, and did the organization solicit any contributions that were not tax deductible as charitable contributions? . . . . .	<b>6 a</b>		X
<b>b</b> If 'Yes,' did the organization include with every solicitation an express statement that such contributions or gifts were not tax deductible? . . . . .	<b>6 b</b>		
<b>7 Organizations that may receive deductible contributions under section 170(c).</b>			
<b>a</b> Did the organization receive a payment in excess of \$75 made partly as a contribution and partly for goods and services provided to the payor? . . . . .	<b>7 a</b>		X
<b>b</b> If 'Yes,' did the organization notify the donor of the value of the goods or services provided? . . . . .	<b>7 b</b>		
<b>c</b> Did the organization sell, exchange, or otherwise dispose of tangible personal property for which it was required to file Form 8282? . . . . .	<b>7 c</b>		X
<b>d</b> If 'Yes,' indicate the number of Forms 8282 filed during the year . . . . .	<b>7 d</b>		
<b>e</b> Did the organization receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? . . . . .	<b>7 e</b>		X
<b>f</b> Did the organization, during the year, pay premiums, directly or indirectly, on a personal benefit contract? . . . . .	<b>7 f</b>		X
<b>g</b> If the organization received a contribution of qualified intellectual property, did the organization file Form 8899 as required? . . . . .	<b>7 g</b>		
<b>h</b> If the organization received a contribution of cars, boats, airplanes, or other vehicles, did the organization file a Form 1098-C? . . . . .	<b>7 h</b>		
<b>8 Sponsoring organizations maintaining donor advised funds.</b> Did a donor advised fund maintained by the sponsoring organization have excess business holdings at any time during the year? . . . . .	<b>8</b>		
<b>9 Sponsoring organizations maintaining donor advised funds.</b>			
<b>a</b> Did the sponsoring organization make any taxable distributions under section 4966? . . . . .	<b>9 a</b>		
<b>b</b> Did the sponsoring organization make a distribution to a donor, donor advisor, or related person? . . . . .	<b>9 b</b>		
<b>10 Section 501(c)(7) organizations.</b> Enter			
<b>a</b> Initiation fees and capital contributions included on Part VIII, line 12. . . . .	<b>10 a</b>		
<b>b</b> Gross receipts, included on Form 990, Part VIII, line 12, for public use of club facilities . . . . .	<b>10 b</b>		
<b>11 Section 501(c)(12) organizations.</b> Enter			
<b>a</b> Gross income from members or shareholders. . . . .	<b>11 a</b>		
<b>b</b> Gross income from other sources (Do not net amounts due or paid to other sources against amounts due or received from them) . . . . .	<b>11 b</b>		
<b>12 a Section 4947(a)(1) non-exempt charitable trusts.</b> Is the organization filing Form 990 in lieu of Form 1041? . . . . .	<b>12 a</b>		
<b>b</b> If 'Yes,' enter the amount of tax-exempt interest received or accrued during the year . . . . .	<b>12 b</b>		
<b>13 Section 501(c)(29) qualified nonprofit health insurance issuers.</b>			
<b>a</b> Is the organization licensed to issue qualified health plans in more than one state? . . . . .	<b>13 a</b>		
<b>Note.</b> See the instructions for additional information the organization must report on Schedule O			
<b>b</b> Enter the amount of reserves the organization is required to maintain by the states in which the organization is licensed to issue qualified health plans . . . . .	<b>13 b</b>		
<b>c</b> Enter the amount of reserves on hand . . . . .	<b>13 c</b>		
<b>14 a</b> Did the organization receive any payments for indoor tanning services during the tax year? . . . . .	<b>14 a</b>		X
<b>b</b> If 'Yes,' has it filed a Form 720 to report these payments? If 'No,' provide an explanation in Schedule O . . . . .	<b>14 b</b>		

**Part VI. Governance, Management, and Disclosure** For each 'Yes' response to lines 2 through 7b below, and for a 'No' response to line 8a, 8b, or 10b below, describe the circumstances, processes, or changes in Schedule O. See instructions.Check if Schedule O contains a response or note to any line in this Part VI. ☒ **X****Section A. Governing Body and Management**

	Yes	No
<b>1 a</b> Enter the number of voting members of the governing body at the end of the tax year . . . . . <b>1 a</b> 5		
If there are material differences in voting rights among members of the governing body, or if the governing body delegated broad authority to an executive committee or similar committee, explain in Schedule O.		
<b>b</b> Enter the number of voting members included in line 1a, above, who are independent . . . . . <b>1 b</b> 5		
<b>2</b> Did any officer, director, trustee, or key employee have a family relationship or a business relationship with any other officer, director, trustee, or key employee? . . . . . <b>2</b>		X
<b>3</b> Did the organization delegate control over management duties customarily performed by or under the direct supervision of officers, directors, or trustees, or key employees to a management company or other person? . . . . . <b>3</b>		X
<b>4</b> Did the organization make any significant changes to its governing documents since the prior Form 990 was filed? . . . . . <b>4</b>		X
<b>5</b> Did the organization become aware during the year of a significant diversion of the organization's assets? . . . . . <b>5</b>		X
<b>6</b> Did the organization have members or stockholders? . . . . . <b>6</b>		X
<b>7 a</b> Did the organization have members, stockholders, or other persons who had the power to elect or appoint one or more members of the governing body? . . . . . <b>7 a</b>		X
<b>b</b> Are any governance decisions of the organization reserved to (or subject to approval by) members, stockholders, or persons other than the governing body? . . . . . <b>7 b</b>		X
<b>8</b> Did the organization contemporaneously document the meetings held or written actions undertaken during the year by the following:		
<b>a</b> The governing body? . . . . . <b>8 a</b>	X	
<b>b</b> Each committee with authority to act on behalf of the governing body? . . . . . <b>8 b</b>	X	
<b>9</b> Is there any officer, director, trustee, or key employee listed in Part VII, Section A, who cannot be reached at the organization's mailing address? If 'Yes,' provide the names and addresses in Schedule O . . . . . <b>9</b>		X

**Section B. Policies** (This Section B requests information about policies not required by the Internal Revenue Code.)

	Yes	No
<b>10 a</b> Did the organization have local chapters, branches, or affiliates? . . . . . <b>10 a</b>		X
<b>b</b> If 'Yes,' did the organization have written policies and procedures governing the activities of such chapters, affiliates, and branches to ensure their operations are consistent with the organization's exempt purposes? . . . . . <b>10 b</b>		
<b>11 a</b> Has the organization provided a complete copy of this Form 990 to all members of its governing body before filing the form? . . . . . <b>11 a</b>	X	
<b>b</b> Describe in Schedule O the process, if any, used by the organization to review this Form 990 . . . . .		
<b>12 a</b> Did the organization have a written conflict of interest policy? If 'No,' go to line 13 . . . . . <b>12 a</b>	X	
<b>b</b> Were officers, directors, or trustees, and key employees required to disclose annually interests that could give rise to conflicts? . . . . . <b>12 b</b>	X	
<b>c</b> Did the organization regularly and consistently monitor and enforce compliance with the policy? If 'Yes,' describe in Schedule O how this was done . . . . . <b>12 c</b>	X	
<b>13</b> Did the organization have a written whistleblower policy? . . . . . <b>13</b>	X	
<b>14</b> Did the organization have a written document retention and destruction policy? . . . . . <b>14</b>	X	
<b>15</b> Did the process for determining compensation of the following persons include a review and approval by independent persons, comparability data, and contemporaneous substantiation of the deliberation and decision?		
<b>a</b> The organization's CEO, Executive Director, or top management official . . . . . <b>15 a</b>		X
<b>b</b> Other officers or key employees of the organization . . . . . <b>15 b</b>		X
If 'Yes' to line 15a or 15b, describe the process in Schedule O (see instructions)		
<b>16 a</b> Did the organization invest in, contribute assets to, or participate in a joint venture or similar arrangement with a taxable entity during the year? . . . . . <b>16 a</b>		X
<b>b</b> If 'Yes,' did the organization follow a written policy or procedure requiring the organization to evaluate its participation in joint venture arrangements under applicable federal tax law, and take steps to safeguard the organization's exempt status with respect to such arrangements? . . . . . <b>16 b</b>		

**Section C. Disclosure**

**17** List the states with which a copy of this Form 990 is required to be filed ▶

**18** Section 6104 requires an organization to make its Forms 1023 (or 1024 if applicable), 990, and 990-T (Section 501(c)(3)s only) available for public inspection. Indicate how you made these available. Check all that apply.

☒ Own website ☐ Another's website ☐ Upon request ☐ Other (explain in Schedule O)

**19** Describe in Schedule O whether (and if so, how) the organization made its governing documents, conflict of interest policy, and financial statements available to the public during the tax year.

**20** State the name, address, and telephone number of the person who possesses the organization's books and records ▶

Jill Ramirez P.O. Box 1271 Austin TX 78767 (512) 585-7185



**Part VII Compensation of Officers, Directors, Trustees, Key Employees, Highest Compensated Employees, and Independent Contractors**Check if Schedule O contains a response or note to any line in this Part VII ☐**Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees****1 a** Complete this table for all persons required to be listed. Report compensation for the calendar year ending with or within the organization's tax year.

- List all of the organization's **current** officers, directors, trustees (whether individuals or organizations), regardless of amount of compensation. Enter -0- in columns (D), (E), and (F) if no compensation was paid.
- List all of the organization's **current** key employees, if any. See instructions for definition of 'key employee.'
- List the organization's five **current** highest compensated employees (other than an officer, director, trustee, or key employee) who received reportable compensation (Box 5 of Form W-2 and/or Box 7 of Form 1099-MISC) of more than \$100,000 from the organization and any related organizations.
- List all of the organization's **former** officers, key employees, and highest compensated employees who received more than \$100,000 of reportable compensation from the organization and any related organizations.
- List all of the organization's **former directors or trustees** that received, in the capacity as a former director or trustee of the organization, more than \$10,000 of reportable compensation from the organization and any related organizations.

List persons in the following order: individual trustees or directors; institutional trustees; officers; key employees; highest compensated employees; and former such persons.

☐ Check this box if neither the organization nor any related organization compensated any current officer, director, or trustee

(A) Name and Title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional trustee	Officer	Key employee	Highest compensated employee	Former			
(1) Linda Smith Treasury	5.00	X		X				65,855.	0.	0.
(2) Jill Ramirez Secretary	5.00	X		X				66,105.	0.	0.
(3) Hector Torres Board President	5.00	X		X				32,925.	0.	0.
(4) Frank Rodriguez Executive Director	40.00			X				74,085.	0.	13,413.
(5) Raul Castaneda Board Member	5.00	X						0.	0.	0.
(6) Dr. Alfred McAlister Advisory Committee Member	5.00	X						0.	0.	0.
(7) Roberto Villareal, MD Advisory Committee Member	5.00	X						0.	0.	0.
(8) Stephen Pont, MD Advisory Committee Member	5.00	X						0.	0.	0.
(9)										
(10)										
(11)										
(12)										
(13)										
(14)										

**Part VII Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees** (continued)

(A) Name and title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)					(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional trustee	Officer	Key employee	Highest compensated employee			
(15) -----	-----								
(16) -----	-----								
(17) -----	-----								
(18) -----	-----								
(19) -----	-----								
(20) -----	-----								
(21) -----	-----								
(22) -----	-----								
(23) -----	-----								
(24) -----	-----								
(25) -----	-----								
<b>1 b Sub-total.</b> . . . . .							238,970.	0.	13,413.
<b>c Total from continuation sheets to Part VII, Section A</b> . . . . .									
<b>d Total (add lines 1b and 1c)</b> . . . . .							238,970.	0.	13,413.
<b>2</b> Total number of individuals (including but not limited to those listed above) who received more than \$100,000 of reportable compensation from the organization ▶									

**3** Did the organization list any **former** officer, director, or trustee, key employee, or highest compensated employee on line 1a? If 'Yes,' complete Schedule J for such individual . . . . .

	Yes	No
<b>3</b> . . . . .		X
<b>4</b> . . . . .		X
<b>5</b> . . . . .		X

**4** For any individual listed on line 1a, is the sum of reportable compensation and other compensation from the organization and related organizations greater than \$150,000? If 'Yes' complete Schedule J for such individual . . . . .

**5** Did any person listed on line 1a receive or accrue compensation from any unrelated organization or individual for services rendered to the organization? If 'Yes,' complete Schedule J for such person . . . . .

**Section B. Independent Contractors**

**1** Complete this table for your five highest compensated independent contractors that received more than \$100,000 of compensation from the organization Report compensation for the calendar year ending with or within the organization's tax year

(A) Name and business address	(B) Description of services	(C) Compensation
<b>2</b> Total number of independent contractors (including but not limited to those listed above) who received more than \$100,000 of compensation from the organization ▶		

**Part VIII Statement of Revenue**Check if Schedule O contains a response or note to any line in this Part VIII ☐

			(A) Total revenue	(B) Related or exempt function revenue	(C) Unrelated business revenue	(D) Revenue excluded from tax under sections 512-514
<b>Contributions, Gifts, Grants and Other Similar Amounts</b>	<b>1 a</b> Federated campaigns . . . . .	<b>1 a</b> 152,598.				
	<b>b</b> Membership dues . . . . .	<b>1 b</b>				
	<b>c</b> Fundraising events . . . . .	<b>1 c</b>				
	<b>d</b> Related organizations . . . . .	<b>1 d</b>				
	<b>e</b> Government grants (contributions) . .	<b>1 e</b>				
	<b>f</b> All other contributions, gifts, grants, and similar amounts not included above . .	<b>1 f</b> 558,856.				
	<b>g</b> Noncash contributions included in lines 1a-1f \$					
	<b>h Total.</b> Add lines 1a-1f . . . . .					
<b>Program Service Revenue</b>	<b>Business Code</b>					
	<b>2 a</b> -----					
	<b>b</b> -----					
	<b>c</b> -----					
	<b>d</b> -----					
	<b>e</b> -----					
	<b>f</b> All other program service revenue . . .					
	<b>g Total.</b> Add lines 2a-2f . . . . .					
<b>Other Revenue</b>	<b>3</b> Investment income (including dividends, interest and other similar amounts) . . . . .					
	<b>4</b> Income from investment of tax-exempt bond proceeds . .					
	<b>5</b> Royalties . . . . .					
	<b>6 a</b> Gross rents . . . . .	(i) Real (ii) Personal				
	<b>b</b> Less rental expenses					
	<b>c</b> Rental income or (loss)					
	<b>d</b> Net rental income or (loss) . . . . .					
	<b>7 a</b> Gross amount from sales of assets other than inventory	(i) Securities (ii) Other				
	<b>b</b> Less cost or other basis and sales expenses . . . . .					
	<b>c</b> Gain or (loss)					
	<b>d</b> Net gain or (loss) . . . . .					
	<b>8 a</b> Gross income from fundraising events (not including: \$ _____ of contributions reported on line 1c) See Part IV, line 18. . . . .	<b>a</b>				
	<b>b</b> Less direct expenses . . . . .	<b>b</b>				
	<b>c</b> Net income or (loss) from fundraising events . . . . .					
	<b>9 a</b> Gross income from gaming activities See Part IV, line 19. . . . .	<b>a</b>				
	<b>b</b> Less direct expenses . . . . .	<b>b</b>				
	<b>c</b> Net income or (loss) from gaming activities . . . . .					
	<b>10 a</b> Gross sales of inventory, less returns and allowances . . . . .	<b>a</b>				
	<b>b</b> Less cost of goods sold . . . . .	<b>b</b>				
	<b>c</b> Net income or (loss) from sales of inventory . . . . .					
<b>Miscellaneous Revenue</b>		<b>Business Code</b>				
<b>11 a</b> -----						
<b>b</b> -----						
<b>c</b> -----						
<b>d</b> All other revenue . . . . .						
<b>e Total.</b> Add lines 11a-11d . . . . .						
<b>12 Total revenue.</b> See instructions . . . . .			711,454.			

**Part IX Statement of Functional Expenses**

Section 501(c)(3) and 501(c)(4) organizations must complete all columns. All other organizations must complete column (A).

Check if Schedule O contains a response or note to any line in this Part IX. ☐

Do not include amounts reported on lines 6b, 7b, 8b, 9b, and 10b of Part VIII.	(A) Total expenses	(B) Program service expenses	(C) Management and general expenses	(D) Fundraising expenses
1 Grants and other assistance to domestic organizations and domestic governments. See Part IV, line 21. . . . .				
2 Grants and other assistance to domestic individuals. See Part IV, line 22. . . . .				
3 Grants and other assistance to foreign organizations, foreign governments, and foreign individuals. See Part IV, lines 15 and 16. . . . .				
4 Benefits paid to or for members. . . . .				
5 Compensation of current officers, directors, trustees, and key employees. . . . .	222,383.	180,130.	40,029.	2,224.
6 Compensation not included above, to disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B). . . . .				
7 Other salaries and wages. . . . .	304,683.	247,865.	52,018.	4,800.
8 Pension plan accruals and contributions (include section 401(k) and 403(b) employer contributions). . . . .				
9 Other employee benefits. . . . .				
10 Payroll taxes. . . . .	38,182.	30,927.	6,873.	382.
11 Fees for services (non-employees)				
a Management. . . . .				
b Legal. . . . .	3,738.	3,103.	635.	0.
c Accounting. . . . .	16,308.	0.	16,308.	0.
d Lobbying. . . . .				
e Professional fundraising services. See Part IV, line 17. . . . .				
f Investment management fees. . . . .				
g Other (If line 11g amt exceeds 10% of line 25, column (A) amount, list line 11g expenses on Schedule O). . . . .	11,684.	9,705.	1,862.	117.
12 Advertising and promotion. . . . .	22,328.	22,328.	0.	0.
13 Office expenses. . . . .	39,668.	32,925.	6,743.	0.
14 Information technology. . . . .	37,551.	34,234.	3,317.	0.
15 Royalties. . . . .				
16 Occupancy. . . . .	14,637.	12,149.	2,488.	0.
17 Travel. . . . .	27,692.	22,984.	4,708.	0.
18 Payments of travel or entertainment expenses for any federal, state, or local public officials. . . . .				
19 Conferences, conventions, and meetings. . . . .				
20 Interest. . . . .				
21 Payments to affiliates. . . . .				
22 Depreciation, depletion, and amortization. . . . .				
23 Insurance. . . . .	18,394.	15,267.	3,127.	0.
24 Other expenses. Itemize expenses not covered above (List miscellaneous expenses in line 24e. If line 24e amount exceeds 10% of line 25, column (A) amount, list line 24e expenses on Schedule O). . . . .				
a . . . . .				
b . . . . .				
c . . . . .				
d . . . . .				
e All other expenses. . . . .	6,125.	5,084.	1,041.	0.
25 Total functional expenses. Add lines 1 through 24e. . . . .	763,373.	616,701.	139,149.	7,523.
26 Joint costs. Complete this line only if the organization reported in column (B) joint costs from a combined educational campaign and fundraising solicitation. Check here <input type="checkbox"/> if following SOP 98-2 (ASC 958-720). . . . .				

**Part X Balance Sheet**Check if Schedule O contains a response or note to any line in this Part X ☐

		(A) Beginning of year		(B) End of year
<b>Assets</b>	<b>1</b> Cash — non-interest-bearing . . . . .	104,004.	<b>1</b>	60,607.
	<b>2</b> Savings and temporary cash investments . . . . .		<b>2</b>	
	<b>3</b> Pledges and grants receivable, net . . . . .		<b>3</b>	
	<b>4</b> Accounts receivable, net . . . . .		<b>4</b>	
	<b>5</b> Loans and other receivables from current and former officers, directors, trustees, key employees, and highest compensated employees. Complete Part II of Schedule L . . . . .		<b>5</b>	
	<b>6</b> Loans and other receivables from other disqualified persons (as defined under section 4958(f)(1)), persons described in section 4958(c)(3)(B), and contributing employers and sponsoring organizations of section 501(c)(9) voluntary employees' beneficiary organizations (see instructions). Complete Part II of Schedule L . . . . .		<b>6</b>	
	<b>7</b> Notes and loans receivable, net . . . . .		<b>7</b>	
	<b>8</b> Inventories for sale or use . . . . .		<b>8</b>	
	<b>9</b> Prepaid expenses and deferred charges . . . . .		<b>9</b>	
	<b>10 a</b> Land, buildings, and equipment cost or other basis. Complete Part VI of Schedule D . . . . .	<b>10 a</b>		
	<b>b</b> Less accumulated depreciation . . . . .	<b>10 b</b>	<b>10 c</b>	
	<b>11</b> Investments — publicly traded securities . . . . .		<b>11</b>	
	<b>12</b> Investments — other securities See Part IV, line 11 . . . . .		<b>12</b>	
	<b>13</b> Investments — program-related See Part IV, line 11 . . . . .		<b>13</b>	
	<b>14</b> Intangible assets . . . . .		<b>14</b>	
	<b>15</b> Other assets See Part IV, line 11 . . . . .		<b>15</b>	
<b>16 Total assets.</b> Add lines 1 through 15 (must equal line 34) . . . . .	104,004.	<b>16</b>	60,607.	
<b>Liabilities</b>	<b>17</b> Accounts payable and accrued expenses . . . . .		<b>17</b>	
	<b>18</b> Grants payable . . . . .		<b>18</b>	
	<b>19</b> Deferred revenue . . . . .		<b>19</b>	
	<b>20</b> Tax-exempt bond liabilities . . . . .		<b>20</b>	
	<b>21</b> Escrow or custodial account liability Complete Part IV of Schedule D . . . . .		<b>21</b>	
	<b>22</b> Loans and other payables to current and former officers, directors, trustees, key employees, highest compensated employees, and disqualified persons. Complete Part II of Schedule L . . . . .		<b>22</b>	
	<b>23</b> Secured mortgages and notes payable to unrelated third parties . . . . .		<b>23</b>	
	<b>24</b> Unsecured notes and loans payable to unrelated third parties . . . . .		<b>24</b>	
	<b>25</b> Other liabilities (including federal income tax, payables to related third parties, and other liabilities not included on lines 17-24) Complete Part X of Schedule D . . . . .		<b>25</b>	
	<b>26 Total liabilities.</b> Add lines 17 through 25 . . . . .	0.	<b>26</b>	0.
<b>Net Assets or Fund Balances</b>	<b>Organizations that follow SFAS 117 (ASC 958), check here <input type="checkbox"/> and complete lines 27 through 29, and lines 33 and 34.</b>			
	<b>27</b> Unrestricted net assets . . . . .		<b>27</b>	
	<b>28</b> Temporarily restricted net assets . . . . .		<b>28</b>	
	<b>29</b> Permanently restricted net assets . . . . .		<b>29</b>	
	<b>Organizations that do not follow SFAS 117 (ASC 958), check here <input checked="" type="checkbox"/> and complete lines 30 through 34.</b>			
	<b>30</b> Capital stock or trust principal, or current funds . . . . .		<b>30</b>	
	<b>31</b> Paid-in or capital surplus, or land, building, or equipment fund . . . . .		<b>31</b>	
	<b>32</b> Retained earnings, endowment, accumulated income, or other funds . . . . .	104,004.	<b>32</b>	60,607.
	<b>33 Total net assets or fund balances.</b> . . . . .	104,004.	<b>33</b>	60,607.
	<b>34 Total liabilities and net assets/fund balances</b> . . . . .	104,004.	<b>34</b>	60,607.

BAA

Form 990 (2014)



**Part XI Reconciliation of Net Assets**Check if Schedule O contains a response or note to any line in this Part XI. ☐

1	Total revenue (must equal Part VIII, column (A), line 12)	1	711,454.
2	Total expenses (must equal Part IX, column (A), line 25)	2	763,373.
3	Revenue less expenses Subtract line 2 from line 1	3	-51,919.
4	Net assets or fund balances at beginning of year (must equal Part X, line 33, column (A))	4	104,004.
5	Net unrealized gains (losses) on investments	5	
6	Donated services and use of facilities	6	
7	Investment expenses	7	
8	Prior period adjustments	8	8,522.
9	Other changes in net assets or fund balances (explain in Schedule O)	9	
10	Net assets or fund balances at end of year Combine lines 3 through 9 (must equal Part X, line 33, column (B))	10	60,607.

**Part XII Financial Statements and Reporting**Check if Schedule O contains a response or note to any line in this Part XII ☐

	Yes	No
1 Accounting method used to prepare the Form 990 <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other _____		
If the organization changed its method of accounting from a prior year or checked 'Other,' explain in Schedule O		
2 a Were the organization's financial statements compiled or reviewed by an independent accountant?		X
If 'Yes,' check a box below to indicate whether the financial statements for the year were compiled or reviewed on a separate basis, consolidated basis, or both		
<input type="checkbox"/> Separate basis <input type="checkbox"/> Consolidated basis <input type="checkbox"/> Both consolidated and separate basis		
2 b Were the organization's financial statements audited by an independent accountant?	X	
If 'Yes,' check a box below to indicate whether the financial statements for the year were audited on a separate basis, consolidated basis, or both		
<input checked="" type="checkbox"/> Separate basis <input type="checkbox"/> Consolidated basis <input type="checkbox"/> Both consolidated and separate basis		
2 c If 'Yes' to line 2a or 2b, does the organization have a committee that assumes responsibility for oversight of the audit, review, or compilation of its financial statements and selection of an independent accountant?	X	
If the organization changed either its oversight process or selection process during the tax year, explain in Schedule O		
3 a As a result of a federal award, was the organization required to undergo an audit or audits as set forth in the Single Audit Act and OMB Circular A-133?		X
3 b If 'Yes,' did the organization undergo the required audit or audits? If the organization did not undergo the required audit or audits, explain why in Schedule O and describe any steps taken to undergo such audits		

BAA

Form 990 (2014)

**SCHEDULE A**  
(Form 990 or 990-EZ)

Department of the Treasury  
Internal Revenue Service

**Public Charity Status and Public Support**

Complete if the organization is a section 501(c)(3) organization or a section 4947(a)(1) nonexempt charitable trust.

▶ Attach to Form 990 or Form 990-EZ.

▶ Information about Schedule A (Form 990 or 990-EZ) and its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990).

OMB No 1545-0047

**2014**

Open to Public  
Inspection

Name of the organization

Latino HealthCare Forum

Employer identification number

46-1170748

**Part I Reason for Public Charity Status** (All organizations must complete this part.) See instructions.

The organization is not a private foundation because it is (For lines 1 through 11, check only one box.)

- 1 ☐ A church, convention of churches, or association of churches described in **section 170(b)(1)(A)(i)**.
- 2 ☐ A school described in **section 170(b)(1)(A)(ii)**. (Attach Schedule E )
- 3 ☐ A hospital or a cooperative hospital service organization described in **section 170(b)(1)(A)(iii)**.
- 4 ☐ A medical research organization operated in conjunction with a hospital described in **section 170(b)(1)(A)(iii)**. Enter the hospital's name, city, and state \_\_\_\_\_
- 5 ☐ An organization operated for the benefit of a college or university owned or operated by a governmental unit described in **section 170(b)(1)(A)(iv)**. (Complete Part II )
- 6 ☐ A federal, state, or local government or governmental unit described in **section 170(b)(1)(A)(v)**.
- 7 ☒ An organization that normally receives a substantial part of its support from a governmental unit or from the general public described in **section 170(b)(1)(A)(vi)**. (Complete Part II )
- 8 ☐ A community trust described in **section 170(b)(1)(A)(vi)**. (Complete Part II.)
- 9 ☐ An organization that normally receives: (1) more than 33-1/3% of its support from contributions, membership fees, and gross receipts from activities related to its exempt functions — subject to certain exceptions, and (2) no more than 33-1/3% of its support from gross investment income and unrelated business taxable income (less section 511 tax) from businesses acquired by the organization after June 30, 1975. See **section 509(a)(2)**. (Complete Part III )
- 10 ☐ An organization organized and operated exclusively to test for public safety. See **section 509(a)(4)**.
- 11 ☐ An organization organized and operated exclusively for the benefit of, to perform the functions of, or to carry out the purposes of one or more publicly supported organizations described in **section 509(a)(1)** or **section 509(a)(2)**. See **section 509(a)(3)**. Check the box in lines 11a through 11d that describes the type of supporting organization and complete lines 11e, 11f, and 11g.
  - a ☐ **Type I.** A supporting organization operated, supervised, or controlled by its supported organization(s), typically by giving the supported organization(s) the power to regularly appoint or elect a majority of the directors or trustees of the supporting organization. **You must complete Part IV, Sections A and B.**
  - b ☐ **Type II.** A supporting organization supervised or controlled in connection with its supported organization(s), by having control or management of the supporting organization vested in the same persons that control or manage the supported organization(s). **You must complete Part IV, Sections A and C.**
  - c ☐ **Type III functionally integrated.** A supporting organization operated in connection with, and functionally integrated with, its supported organization(s) (see instructions). **You must complete Part IV, Sections A, D, and E.**
  - d ☐ **Type III non-functionally integrated.** A supporting organization operated in connection with its supported organization(s) that is not functionally integrated. The organization generally must satisfy a distribution requirement and an attentiveness requirement (see instructions). **You must complete Part IV, Sections A and D, and Part V.**
  - e ☐ Check this box if the organization received a written determination from the IRS that it is a Type I, Type II, Type III functionally integrated, or Type III non-functionally integrated supporting organization
  - f Enter the number of supported organizations \_\_\_\_\_
  - g Provide the following information about the supported organization(s)

(i) Name of supported organization	(ii) EIN	(iii) Type of organization (described on lines 1-9 above or IRC section (see instructions))	(iv) Is the organization listed in your governing document?		(v) Amount of monetary support (see instructions)	(vi) Amount of other support (see instructions)
			Yes	No		
(A)						
(B)						
(C)						
(D)						
(E)						
<b>Total</b>						

BAA For Paperwork Reduction Act Notice, see the Instructions for Form 990 or 990-EZ.

Schedule A (Form 990 or 990-EZ) 2014

**Part II Support Schedule for Organizations Described in Sections 170(b)(1)(A)(iv) and 170(b)(1)(A)(vi)**

(Complete only if you checked the box on line 5, 7, or 8 of Part I or if the organization failed to qualify under Part III. If the organization fails to qualify under the tests listed below, please complete Part III.)

**Section A. Public Support**

Calendar year (or fiscal year beginning in) ▶	(a) 2010	(b) 2011	(c) 2012	(d) 2013	(e) 2014	(f) Total
1 Gifts, grants, contributions, and membership fees received (Do not include any 'unusual grants') . . . . .			1,100.	332,015.	711,454.	1,044,569.
2 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf . . . . .						
3 The value of services or facilities furnished by a governmental unit to the organization without charge. . . . .						
4 <b>Total.</b> Add lines 1 through 3 . . . . .			1,100.	332,015.	711,454.	1,044,569.
5 The portion of total contributions by each person (other than a governmental unit or publicly supported organization) included on line 1 that exceeds 2% of the amount shown on line 11, column (f) . . . . .						508,567.
6 <b>Public support.</b> Subtract line 5 from line 4 . . . . .						536,002.

**Section B. Total Support**

Calendar year (or fiscal year beginning in) ▶	(a) 2010	(b) 2011	(c) 2012	(d) 2013	(e) 2014	(f) Total
7 Amounts from line 4 . . . . .			1,100.	332,015.	711,454.	1,044,569.
8 Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources . . . . .						
9 Net income from unrelated business activities, whether or not the business is regularly carried on . . . . .						
10 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI) . . . . .						
11 <b>Total support.</b> Add lines 7 through 10 . . . . .						1,044,569.
12 Gross receipts from related activities, etc (see instructions) . . . . .					12	
13 <b>First five years.</b> If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and <b>stop here</b> . . . . . ▶ <input checked="" type="checkbox"/>						

**Section C. Computation of Public Support Percentage**

14 Public support percentage for 2014 (line 6, column (f) divided by line 11, column (f)) . . . . .	14	%
15 Public support percentage from 2013 Schedule A, Part II, line 14 . . . . .	15	%
16a <b>33-1/3% support test – 2014.</b> If the organization did not check the box on line 13, and the line 14 is 33-1/3% or more, check this box and <b>stop here.</b> The organization qualifies as a publicly supported organization . . . . . ▶ <input type="checkbox"/>		
b <b>33-1/3% support test – 2013.</b> If the organization did not check a box on line 13 or 16a, and line 15 is 33-1/3% or more, check this box and <b>stop here.</b> The organization qualifies as a publicly supported organization . . . . . ▶ <input type="checkbox"/>		
17a <b>10%-facts-and-circumstances test – 2014.</b> If the organization did not check a box on line 13, 16a, or 16b, and line 14 is 10% or more, and if the organization meets the 'facts-and-circumstances' test, check this box and <b>stop here.</b> Explain in Part VI how the organization meets the 'facts-and-circumstances' test. The organization qualifies as a publicly supported organization . . . . . ▶ <input type="checkbox"/>		
b <b>10%-facts-and-circumstances test – 2013.</b> If the organization did not check a box on line 13, 16a, 16b, or 17a, and line 15 is 10% or more, and if the organization meets the 'facts-and-circumstances' test, check this box and <b>stop here.</b> Explain in Part VI how the organization meets the 'facts-and-circumstances' test. The organization qualifies as a publicly supported organization . . . . . ▶ <input type="checkbox"/>		
18 <b>Private foundation.</b> If the organization did not check a box on line 13, 16a, 16b, 17a, or 17b, check this box and see instructions . . . . . ▶ <input type="checkbox"/>		

**Part III Support Schedule for Organizations Described in Section 509(a)(2)**

(Complete only if you checked the box on line 9 of Part I or if the organization failed to qualify under Part II. If the organization fails to qualify under the tests listed below, please complete Part II.)

**Section A. Public Support**

Calendar year (or fiscal yr beginning in) ▶	(a) 2010	(b) 2011	(c) 2012	(d) 2013	(e) 2014	(f) Total
1 Gifts, grants, contributions and membership fees received (Do not include any 'unusual grants'). . . . .						
2 Gross receipts from admissions, merchandise sold or services performed, or facilities furnished in any activity that is related to the organization's tax-exempt purpose . . . . .						
3 Gross receipts from activities that are not an unrelated trade or business under section 513 . . . . .						
4 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf . . . . .						
5 The value of services or facilities furnished by a governmental unit to the organization without charge. . . . .						
6 <b>Total.</b> Add lines 1 through 5 . . . . .						
7 a Amounts included on lines 1, 2, and 3 received from disqualified persons . . . . .						
b Amounts included on lines 2 and 3 received from other than disqualified persons that exceed the greater of \$5,000 or 1% of the amount on line 13 for the year . . . . .						
c Add lines 7a and 7b . . . . .						
8 <b>Public support.</b> (Subtract line 7c from line 6) . . . . .						

**Section B. Total Support**

Calendar year (or fiscal yr beginning in) ▶	(a) 2010	(b) 2011	(c) 2012	(d) 2013	(e) 2014	(f) Total
9 Amounts from line 6 . . . . .						
10 a Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources . . . . .						
b Unrelated business taxable income (less section 511 taxes) from businesses acquired after June 30, 1975 . . . . .						
c Add lines 10a and 10b . . . . .						
11 Net income from unrelated business activities not included in line 10b, whether or not the business is regularly carried on . . . . .						
12 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI) . . . . .						
13 <b>Total support.</b> (Add lines 9, 10c, 11 and 12) . . . . .						
14 <b>First five years.</b> If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and <b>stop here</b> . . . . . ▶ <input type="checkbox"/>						

**Section C. Computation of Public Support Percentage**

15 Public support percentage for 2014 (line 8, column (f) divided by line 13, column (f)) . . . . .	15	%
16 Public support percentage from 2013 Schedule A, Part III, line 15. . . . .	16	%

**Section D. Computation of Investment Income Percentage**

17 Investment income percentage for 2014 (line 10c, column (f) divided by line 13, column (f)) . . . . .	17	%
18 Investment income percentage from 2013 Schedule A, Part III, line 17 . . . . .	18	%
19 a <b>33-1/3% support tests — 2014.</b> If the organization did not check the box on line 14, and line 15 is more than 33-1/3%, and line 17 is not more than 33-1/3%, check this box and <b>stop here.</b> The organization qualifies as a publicly supported organization . . . . . ▶ <input type="checkbox"/>		
b <b>33-1/3% support tests — 2013.</b> If the organization did not check a box on line 14 or line 19a, and line 16 is more than 33-1/3%, and line 18 is not more than 33-1/3%, check this box and <b>stop here.</b> The organization qualifies as a publicly supported organization . . . . . ▶ <input type="checkbox"/>		
20 <b>Private foundation.</b> If the organization did not check a box on line 14, 19a, or 19b, check this box and see instructions. . . . . ▶ <input type="checkbox"/>		

**Part IV Supporting Organizations**

(Complete only if you checked a box on line 11 of Part I. If you checked 11a of Part I, complete Sections A and B. If you checked 11b of Part I, complete Sections A and C. If you checked 11c of Part I, complete Sections A, D, and E. If you checked 11d of Part I, complete Sections A and D, and complete Part V.)

**Section A. All Supporting Organizations**

	Yes	No
<b>1</b> Are all of the organization's supported organizations listed by name in the organization's governing documents? If 'No,' describe in <b>Part VI</b> how the supported organizations are designated. If designated by class or purpose, describe the designation. If historic and continuing relationship, explain . . . . .		
<b>2</b> Did the organization have any supported organization that does not have an IRS determination of status under section 509(a)(1) or (2)? If 'Yes,' explain in <b>Part VI</b> how the organization determined that the supported organization was described in section 509(a)(1) or (2) . . . . .		
<b>3a</b> Did the organization have a supported organization described in section 501(c)(4), (5), or (6)? If 'Yes,' answer (b) and (c) below. . . . .		
<b>b</b> Did the organization confirm that each supported organization qualified under section 501(c)(4), (5), or (6) and satisfied the public support tests under section 509(a)(2)? If 'Yes,' describe in <b>Part VI</b> when and how the organization made the determination . . . . .		
<b>c</b> Did the organization ensure that all support to such organizations was used exclusively for section 170(c)(2)(B) purposes? If 'Yes,' explain in <b>Part VI</b> what controls the organization put in place to ensure such use . . . . .		
<b>4a</b> Was any supported organization not organized in the United States ('foreign supported organization')? If 'Yes' and if you checked 11a or 11b in Part I, answer (b) and (c) below . . . . .		
<b>b</b> Did the organization have ultimate control and discretion in deciding whether to make grants to the foreign supported organization? If 'Yes,' describe in <b>Part VI</b> how the organization had such control and discretion despite being controlled or supervised by or in connection with its supported organizations . . . . .		
<b>c</b> Did the organization support any foreign supported organization that does not have an IRS determination under sections 501(c)(3) and 509(a)(1) or (2)? If 'Yes,' explain in <b>Part VI</b> what controls the organization used to ensure that all support to the foreign supported organization was used exclusively for section 170(c)(2)(B) purposes . . . . .		
<b>5a</b> Did the organization add, substitute, or remove any supported organizations during the tax year? If 'Yes,' answer (b) and (c) below (if applicable). Also, provide detail in <b>Part VI</b> , including (i) the names and EIN numbers of the supported organizations added, substituted, or removed, (ii) the reasons for each such action, (iii) the authority under the organization's organizing document authorizing such action, and (iv) how the action was accomplished (such as by amendment to the organizing document) . . . . .		
<b>b Type I or Type II only.</b> Was any added or substituted supported organization part of a class already designated in the organization's organizing document? . . . . .		
<b>c Substitutions only.</b> Was the substitution the result of an event beyond the organization's control? . . . . .		
<b>6</b> Did the organization provide support (whether in the form of grants or the provision of services or facilities) to anyone other than (a) its supported organizations, (b) individuals that are part of the charitable class benefited by one or more of its supported organizations, or (c) other supporting organizations that also support or benefit one or more of the filing organization's supported organizations? If 'Yes,' provide detail in <b>Part VI</b> . . . . .		
<b>7</b> Did the organization provide a grant, loan, compensation, or other similar payment to a substantial contributor (defined in IRC 4958(c)(3)(C)), a family member of a substantial contributor, or a 35-percent controlled entity with regard to a substantial contributor? If 'Yes,' complete Part I of Schedule L (Form 990) . . . . .		
<b>8</b> Did the organization make a loan to a disqualified person (as defined in section 4958) not described in line 7? If 'Yes,' complete Part I of Schedule L (Form 990). . . . .		
<b>9a</b> Was the organization controlled directly or indirectly at any time during the tax year by one or more disqualified persons as defined in section 4946 (other than foundation managers and organizations described in section 509(a)(1) or (2))? If 'Yes,' provide detail in <b>Part VI</b> . . . . .		
<b>b</b> Did one or more disqualified persons (as defined in line 9(a)) hold a controlling interest in any entity in which the supporting organization had an interest? If 'Yes,' provide detail in <b>Part VI</b> . . . . .		
<b>c</b> Did a disqualified person (as defined in line 9(a)) have an ownership interest in, or derive any personal benefit from, assets in which the supporting organization also had an interest? If 'Yes,' provide detail in <b>Part VI</b> . . . . .		
<b>10a</b> Was the organization subject to the excess business holdings rules of IRC 4943 because of IRC 4943(f) (regarding certain Type II supporting organizations, and all Type III non-functionally integrated supporting organizations)? If 'Yes,' answer (b) below . . . . .		
<b>b</b> Did the organization, have any excess business holdings in the tax year? (Use Schedule C, Form 4720, to determine whether the organization had excess business holdings) . . . . .		

**Part IV Supporting Organizations** (continued)

	Yes	No
<b>11</b> Has the organization accepted a gift or contribution from any of the following persons?		
<b>a</b> A person who directly or indirectly controls, either alone or together with persons described in (b) and (c) below, the governing body of a supported organization?	<b>11a</b>	
<b>b</b> A family member of a person described in (a) above?	<b>11b</b>	
<b>c</b> A 35% controlled entity of a person described in (a) or (b) above? If 'Yes' to a, b, or c, provide detail in <b>Part VI</b>	<b>11c</b>	

**Section B. Type I Supporting Organizations**

	Yes	No
<b>1</b> Did the directors, trustees, or membership of one or more supported organizations have the power to regularly appoint or elect at least a majority of the organization's directors or trustees at all times during the tax year? If 'No,' describe in <b>Part VI</b> how the supported organization(s) effectively operated, supervised, or controlled the organization's activities. If the organization had more than one supported organization, describe how the powers to appoint and/or remove directors or trustees were allocated among the supported organizations and what conditions or restrictions, if any, applied to such powers during the tax year	<b>1</b>	
<b>2</b> Did the organization operate for the benefit of any supported organization other than the supported organization(s) that operated, supervised, or controlled the supporting organization? If 'Yes,' explain in <b>Part VI</b> how providing such benefit carried out the purposes of the supported organization(s) that operated, supervised, or controlled the supporting organization	<b>2</b>	

**Section C. Type II Supporting Organizations**

	Yes	No
<b>1</b> Were a majority of the organization's directors or trustees during the tax year also a majority of the directors or trustees of each of the organization's supported organization(s)? If 'No,' describe in <b>Part VI</b> how control or management of the supporting organization was vested in the same persons that controlled or managed the supported organization(s)	<b>1</b>	

**Section D. All Type III Supporting Organizations**

	Yes	No
<b>1</b> Did the organization provide to each of its supported organizations, by the last day of the fifth month of the organization's tax year, (1) a written notice describing the type and amount of support provided during the prior tax year, (2) a copy of the Form 990 that was most recently filed as of the date of notification, and (3) copies of the organization's governing documents in effect on the date of notification, to the extent not previously provided?	<b>1</b>	
<b>2</b> Were any of the organization's officers, directors, or trustees either (i) appointed or elected by the supported organization(s) or (ii) serving on the governing body of a supported organization? If 'No,' explain in <b>Part VI</b> how the organization maintained a close and continuous working relationship with the supported organization(s).	<b>2</b>	
<b>3</b> By reason of the relationship described in (2), did the organization's supported organizations have a significant voice in the organization's investment policies and in directing the use of the organization's income or assets at all times during the tax year? If 'Yes,' describe in <b>Part VI</b> the role the organization's supported organizations played in this regard	<b>3</b>	

**Section E. Type III Functionally-Integrated Supporting Organizations**

- 1** Check the box next to the method that the organization used to satisfy the Integral Part Test during the year (see instructions):
- a** ☐ The organization satisfied the Activities Test. Complete line 2 below
- b** ☐ The organization is the parent of each of its supported organizations. Complete line 3 below
- c** ☐ The organization supported a governmental entity. Describe in **Part VI** how you supported a government entity (see instructions)

**2** Activities Test. Answer (a) and (b) below.

	Yes	No
<b>a</b> Did substantially all of the organization's activities during the tax year directly further the exempt purposes of the supported organization(s) to which the organization was responsive? If 'Yes,' then in <b>Part VI</b> identify those supported organizations and explain how these activities directly furthered their exempt purposes, how the organization was responsive to those supported organizations, and how the organization determined that these activities constituted substantially all of its activities	<b>2a</b>	
<b>b</b> Did the activities described in (a) constitute activities that, but for the organization's involvement, one or more of the organization's supported organization(s) would have been engaged in? If 'Yes,' explain in <b>Part VI</b> the reasons for the organization's position that its supported organization(s) would have engaged in these activities but for the organization's involvement	<b>2b</b>	
<b>3</b> Parent of Supported Organizations. Answer (a) and (b) below.		
<b>a</b> Did the organization have the power to regularly appoint or elect a majority of the officers, directors, or trustees of each of the supported organizations? Provide details in <b>Part VI</b>	<b>3a</b>	
<b>b</b> Did the organization exercise a substantial degree of direction over the policies, programs, and activities of each of its supported organizations? If 'Yes,' describe in <b>Part VI</b> the role played by the organization in this regard	<b>3b</b>	



**Part V Type III Non-Functionally Integrated 509(a)(3) Supporting Organizations**

- 1 ☐ Check here if the organization satisfied the Integral Part Test as a qualifying trust on November 20, 1970. See instructions. All other Type III non-functionally integrated supporting organizations must complete Sections A through E.

Section A – Adjusted Net Income		(A) Prior Year	(B) Current Year (optional)
1	Net short-term capital gain . . . . .	1	
2	Recoveries of prior-year distributions . . . . .	2	
3	Other gross income (see instructions). . . . .	3	
4	Add lines 1 through 3. . . . .	4	
5	Depreciation and depletion . . . . .	5	
6	Portion of operating expenses paid or incurred for production or collection of gross income or for management, conservation, or maintenance of property held for production of income (see instructions). . . . .	6	
7	Other expenses (see instructions). . . . .	7	
8	<b>Adjusted Net Income</b> (subtract lines 5, 6 and 7 from line 4). . . . .	8	

Section B – Minimum Asset Amount		(A) Prior Year	(B) Current Year (optional)
1	Aggregate fair market value of all non-exempt-use assets (see instructions for short tax year or assets held for part of year):		
a	Average monthly value of securities . . . . .	1 a	
b	Average monthly cash balances . . . . .	1 b	
c	Fair market value of other non-exempt-use assets . . . . .	1 c	
d	<b>Total</b> (add lines 1a, 1b, and 1c). . . . .	1 d	
e	<b>Discount</b> claimed for blockage or other factors (explain in detail in Part VI)		
2	Acquisition indebtedness applicable to non-exempt-use assets . . . . .	2	
3	Subtract line 2 from line 1d . . . . .	3	
4	Cash deemed held for exempt use. Enter 1-1/2% of line 3 (for greater amount, see instructions). . . . .	4	
5	Net value of non-exempt-use assets (subtract line 4 from line 3). . . . .	5	
6	Multiply line 5 by .035. . . . .	6	
7	Recoveries of prior-year distributions . . . . .	7	
8	<b>Minimum Asset Amount</b> (add line 7 to line 6). . . . .	8	

Section C – Distributable Amount		Current Year	
1	Adjusted net income for prior year (from Section A, line 8, Column A). . . . .	1	
2	Enter 85% of line 1. . . . .	2	
3	Minimum asset amount for prior year (from Section B, line 8, Column A). . . . .	3	
4	Enter greater of line 2 or line 3. . . . .	4	
5	Income tax imposed in prior year . . . . .	5	
6	<b>Distributable Amount.</b> Subtract line 5 from line 4, unless subject to emergency temporary reduction (see instructions). . . . .	6	

- 7 ☐ Check here if the current year is the organization's first as a non-functionally-integrated Type III supporting organization (see instructions).

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Schedule A (Form 990 or 990-EZ) 2014

**Part V Type III Non-Functionally Integrated 509(a)(3) Supporting Organizations** (continued)

<b>Section D – Distributions</b>		<b>Current Year</b>
<b>1</b>	Amounts paid to supported organizations to accomplish exempt purposes . . . . .	
<b>2</b>	Amounts paid to perform activity that directly furthers exempt purposes of supported organizations, in excess of income from activity . . . . .	
<b>3</b>	Administrative expenses paid to accomplish exempt purposes of supported organizations . . . . .	
<b>4</b>	Amounts paid to acquire exempt-use assets . . . . .	
<b>5</b>	Qualified set-aside amounts (prior IRS approval required). . . . .	
<b>6</b>	Other distributions (describe in <b>Part VI</b> ) See instructions . . . . .	
<b>7</b>	<b>Total annual distributions.</b> Add lines 1 through 6 . . . . .	
<b>8</b>	Distributions to attentive supported organizations to which the organization is responsive (provide details in <b>Part VI</b> ) See instructions. . . . .	
<b>9</b>	Distributable amount for 2014 from Section C, line 6 . . . . .	
<b>10</b>	Line 8 amount divided by Line 9 amount . . . . .	

<b>Section E – Distribution Allocations (see instructions)</b>	<b>(i) Excess Distributions</b>	<b>(ii) Underdistributions Pre-2014</b>	<b>(iii) Distributable Amount for 2014</b>
<b>1</b> Distributable amount for 2014 from Section C, line 6 . . . . .			
<b>2</b> Underdistributions, if any, for years prior to 2014 (reasonable cause required – see instructions) . . . . .			
<b>3</b> Excess distributions carryover, if any, to 2014			
<b>a</b>			
<b>b</b>			
<b>c</b>			
<b>d</b>			
<b>e</b> From 2013 . . . . .			
<b>f</b> <b>Total</b> of lines 3a through e . . . . .			
<b>g</b> Applied to underdistributions of prior years . . . . .			
<b>h</b> Applied to 2014 distributable amount . . . . .			
<b>i</b> Carryover from 2009 not applied (see instructions) . . . . .			
<b>j</b> Remainder Subtract lines 3g, 3h, and 3i from 3f . . . . .			
<b>4</b> Distributions for 2014 from Section D, line 7 \$ . . . . .			
<b>a</b> Applied to underdistributions of prior years . . . . .			
<b>b</b> Applied to 2014 distributable amount . . . . .			
<b>c</b> Remainder Subtract lines 4a and 4b from 4 . . . . .			
<b>5</b> Remaining underdistributions for years prior to 2014, if any Subtract lines 3g and 4a from line 2 (if amount greater than zero, see instructions) . . . . .			
<b>6</b> Remaining underdistributions for 2014 Subtract lines 3h and 4b from line 1 (if amount greater than zero, see instructions) . . . . .			
<b>7</b> <b>Excess distributions carryover to 2015.</b> Add lines 3j and 4c . . . . .			
<b>8</b> Breakdown of line 7			
<b>a</b>			
<b>b</b>			
<b>c</b>			
<b>d</b> Excess from 2013 . . . . .			
<b>e</b> Excess from 2014 . . . . .			

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Schedule A (Form 990 or 990-EZ) 2014

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**Part VI** **Supplemental Information.** Provide the explanations required by Part II, line 10; Part II, line 17a or 17b; and Part III, line 12. Also complete this part for any additional information. (See instructions).

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**SCHEDULE O**  
**(Form 990 or 990-EZ)**

Department of the Treasury  
Internal Revenue Service

**Supplemental Information to Form 990 or 990-EZ**

Complete to provide information for responses to specific questions on  
Form 990 or 990-EZ or to provide any additional information.

► Attach to Form 990 or 990-EZ.

► Information about Schedule O (Form 990 or 990-EZ) and its instructions is  
at [www.irs.gov/form990](http://www.irs.gov/form990).

OMB No 1545-0047

**2014**

**Open to Public  
Inspection**

Name of the organization

Latino HealthCare Forum

Employer identification number

46-1170748

The Board of Directors is an active and engaged board. They have an understanding of the Form 990 and that it is designed to enhance transparency of the organization's mission and activities and promote compliance with applicable tax law requirements. The board reviews all parts of the 990 in order to effectively perform their fiduciary responsibilities. They review the 990 according to a checklist for each part; Part I - Summary to ensure the mission is clearly articulated; Part II - Program Service to increase awareness by describing program services; Part IV - to ensure schedules or completed; Part V - to adhere to compliance requirements; Part VI - to make sure the organization promotes transparency; Part VII - to check that excessive compensation is justifiable ; Part VIII - review of detailed information on sources of support; and all other Parts concerning expenses, balance sheet, political activities, and compensation information is detailed.

Pt VI, Line 11b

Pt VI, Line 12c

Pt VI, Line 19

The Board of Directors review the policy.

There is a link found on the website.

## Return of Organization Exempt From Income Tax

Under section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code (except private foundations)

- ▶ Do not enter social security numbers on this form as it may be made public.  
▶ Information about Form 990 and its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990).

2015

Open to Public Inspection

Department of the Treasury  
Internal Revenue Service

## A For the 2015 calendar year, or tax year beginning 2015, and ending

B Check if applicable <input type="checkbox"/> Address change <input type="checkbox"/> Name change <input type="checkbox"/> Initial return <input type="checkbox"/> Final return/terminated <input type="checkbox"/> Amended return <input type="checkbox"/> Application pending	C Name of organization <b>Latino HealthCare Forum</b>		D Employer identification number <b>46-1170748</b>
	Doing business as		E Telephone number <b>(512) 585-7185</b>
	Number and street (or P.O. box if mail is not delivered to street address) Room/suite <b>P.O. Box 1271</b>		
	City or town state or province, country, and ZIP or foreign postal code <b>Austin TX 78767</b>		G Gross receipts \$ <b>999,153.</b>
	F Name and address of principal officer <b>Jill Ramirez P.O. Box 1271 Austin TX 78767</b>		H(a) Is this a group return for subordinates? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No H(b) Are all subordinates included? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If 'No,' attach a list (see instructions) H(c) Group exemption number ▶
I Tax-exempt status <input checked="" type="checkbox"/> 501(c)(3) <input type="checkbox"/> 501(c) ( ) (insert no) <input type="checkbox"/> 4947(a)(1) or <input type="checkbox"/> 527			
J Website: ▶ <b>N/A</b>			
K Form of organization <input checked="" type="checkbox"/> Corporation <input type="checkbox"/> Trust <input type="checkbox"/> Association <input type="checkbox"/> Other ▶ L Year of formation <b>2011</b> M State of legal domicile <b>TX</b>			

## Part I Summary

Activities & Governance	1	Briefly describe the organization's mission or most significant activities. <u>The Latino HealthCare Forum's mission is to reduce racial and ethnic health disparities. The LHCF vision is to support a nation free of disparities in health and healthcare. (continued on Schedule O)</u>		
	2	Check this box <input type="checkbox"/> if the organization discontinued its operations or disposed of more than 25% of its net assets		
	3	Number of voting members of the governing body (Part VI, line 1a)	<b>3</b>	<b>5</b>
	4	Number of independent voting members of the governing body (Part VI, line 1b)	<b>4</b>	<b>5</b>
	5	Total number of individuals employed in calendar year 2015 (Part V, line 2a)	<b>5</b>	<b>56</b>
	6	Total number of volunteers (estimate if necessary)	<b>6</b>	<b>56</b>
	7a	Total unrelated business revenue from Part VIII, column (C), line 12	<b>7a</b>	<b>0.</b>
	b Net unrelated business taxable income from Form 990-T, line 34	<b>7b</b>	<b>0.</b>	
Revenue	8	Contributions and grants (Part VIII, line 1h)	<b>Prior Year</b> <b>711,454.</b>	<b>Current Year</b> <b>993,108.</b>
	9	Program service revenue (Part VIII, line 2g)		
	10	Investment income (Part VIII, column (A), lines 3, 4, and 7d)		
	11	Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e)		<b>6,045.</b>
	12	Total revenue - add lines 8 through 11 (must equal Part VIII, column (A), line 12)	<b>711,454.</b>	<b>999,153.</b>
Expenses	13	Grants and similar amounts paid (Part IX, column (A), lines 1-3)		
	14	Benefits paid to or for members (Part IX, column (A), line 4)		
	15	Salaries, other compensation, employee benefits (Part IX, column (A), lines 5-10)	<b>565,248.</b>	<b>762,755.</b>
	16a	Professional fundraising fees (Part IX, column (A), line 11e)		
	b	Total fundraising expenses (Part IX, column (D), line 25)		<b>13,598.</b>
	17	Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e)	<b>198,125.</b>	<b>249,473.</b>
	18	Total expenses Add lines 13-17 (must equal Part IX, column (A), line 25)	<b>763,373.</b>	<b>1,012,228.</b>
19	Revenue less expenses Subtract line 18 from line 12	<b>-51,919.</b>	<b>-13,075.</b>	
Net Assets or Fund Balance	20	Total assets (Part X, line 16)	<b>Beginning of Current Year</b> <b>60,607.</b>	<b>End of Year</b> <b>47,532.</b>
	21	Total liabilities (Part X, line 26)		
	22	Net assets or fund balances Subtract line 21 from line 20	<b>60,607.</b>	<b>47,532.</b>

## Part II Signature Block

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than officer) is based on all information of which preparer has any knowledge.

Sign Here	Signature of officer	Date	<b>10-25-16</b>
	<b>Jill Ramirez</b> Type or print name and title		
Paid Preparer Use Only	Print/Type preparer's name	Preparer's signature	Date
	<b>Arturo Montemayor III</b>		<b>10/10/16</b>
	Firm's name	Firm's EIN	PTIN
	<b>Montemayor Britton Bender PC</b>	<b>74-2902112</b>	<b>P01388530</b>
	Firm's address	Phone no	
	<b>2525 Wallingwood Drive, Bldg 1, Ste 200</b> <b>Austin TX 78746</b>	<b>(512) 442-0380</b>	

May the IRS discuss this return with the preparer shown above? (see instructions) ☒ Yes ☐ No

BAA For Paperwork Reduction Act Notice, see the separate instructions.

TEEA0101 10/12/15

Form 990 (2015)

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**Part III Statement of Program Service Accomplishments**Check if Schedule O contains a response or note to any line in this Part III ☐**1** Briefly describe the organization's mission

The Latino HealthCare Forum's mission is to reduce racial and ethnic health disparities. The LHCF See Form 990, Page 2, Part III, Line 1 (continued)

**2** Did the organization undertake any significant program services during the year which were not listed on the prior Form 990 or 990-EZ? ☐ Yes ☒ No

If 'Yes,' describe these new services on Schedule O

**3** Did the organization cease conducting, or make significant changes in how it conducts, any program services? ☐ Yes ☒ No

If 'Yes,' describe these changes on Schedule O.

**4** Describe the organization's program service accomplishments for each of its three largest program services, as measured by expenses. Section 501(c)(3) and 501(c)(4) organizations are required to report the amount of grants and allocations to others, the total expenses, and revenue, if any, for each program service reported**4 a** (Code ) (Expenses \$ 606,763. including grants of \$ 0. ) (Revenue \$ 0. )

The Latino HealthCare Forum (LHCF) provided outreach education, and enrollment services for the Affordable Care Act's Insurance Marketplace. The LHCF as a consumer focused non-profit group provided public education activities to raise awareness of the availability of qualified health plans; distributed fair and impartial information about enrollment in qualified health plans and the availability of premium tax credits; facilitated enrollment in qualified health plans; provided referrals to appropriate agencies for public insurance assistance; and provided information in a culturally and linguistically manner.

**4 b** (Code ) (Expenses \$ 67,830. including grants of \$ 0. ) (Revenue \$ 0. )

The LHCF provides health promotion services to the vulnerable population to assist them with tools and resources in self-managing their health and healthcare.

**4 c** (Code ) (Expenses \$ 157,722. including grants of \$ 0. ) (Revenue \$ 0. )

Other Program Services - Mainly include providing assistance to other health organizations in the community whose services aligned with our mission.

**4 d** Other program services (Describe in Schedule O )

(Expenses \$ including grants of \$ ) (Revenue \$ )

**4 e** Total program service expenses 832,315.



**Part IV Checklist of Required Schedules**

	Yes	No
1 Is the organization described in section 501(c)(3) or 4947(a)(1) (other than a private foundation)? If 'Yes,' complete Schedule A. . . . .	X	
2 Is the organization required to complete Schedule B, Schedule of Contributors (see instructions)? . . . . .	X	
3 Did the organization engage in direct or indirect political campaign activities on behalf of or in opposition to candidates for public office? If 'Yes,' complete Schedule C, Part I. . . . .		X
4 <b>Section 501(c)(3) organizations.</b> Did the organization engage in lobbying activities, or have a section 501(h) election in effect during the tax year? If 'Yes,' complete Schedule C, Part II . . . . .		X
5 Is the organization a section 501(c)(4), 501(c)(5), or 501(c)(6) organization that receives membership dues, assessments, or similar amounts as defined in Revenue Procedure 98-19? If 'Yes,' complete Schedule C, Part III . . . . .		X
6 Did the organization maintain any donor advised funds or any similar funds or accounts for which donors have the right to provide advice on the distribution or investment of amounts in such funds or accounts? If 'Yes,' complete Schedule D, Part I. . . . .		X
7 Did the organization receive or hold a conservation easement, including easements to preserve open space, the environment, historic land areas, or historic structures? If 'Yes,' complete Schedule D, Part II . . . . .		X
8 Did the organization maintain collections of works of art, historical treasures, or other similar assets? If 'Yes,' complete Schedule D, Part III. . . . .		X
9 Did the organization report an amount in Part X, line 21, for escrow or custodial account liability, serve as a custodian for amounts not listed in Part X, or provide credit counseling, debt management, credit repair, or debt negotiation services? If 'Yes,' complete Schedule D, Part IV . . . . .		X
10 Did the organization, directly or through a related organization, hold assets in temporarily restricted endowments, permanent endowments, or quasi-endowments? If 'Yes,' complete Schedule D, Part V . . . . .		X
11 If the organization's answer to any of the following questions is 'Yes,' then complete Schedule D, Parts VI, VII, VIII, IX, or X as applicable		
a Did the organization report an amount for land, buildings and equipment in Part X, line 10? If 'Yes,' complete Schedule D, Part VI. . . . .		X
b Did the organization report an amount for investments — other securities in Part X, line 12 that is 5% or more of its total assets reported in Part X, line 16? If 'Yes,' complete Schedule D, Part VII. . . . .		X
c Did the organization report an amount for investments — program related in Part X, line 13 that is 5% or more of its total assets reported in Part X, line 16? If 'Yes,' complete Schedule D, Part VIII . . . . .		X
d Did the organization report an amount for other assets in Part X, line 15 that is 5% or more of its total assets reported in Part X, line 16? If 'Yes,' complete Schedule D, Part IX . . . . .		X
e Did the organization report an amount for other liabilities in Part X, line 25? If 'Yes,' complete Schedule D, Part X. . . . .		X
f Did the organization's separate or consolidated financial statements for the tax year include a footnote that addresses the organization's liability for uncertain tax positions under FIN 48 (ASC 740)? If 'Yes,' complete Schedule D, Part X . . . . .		X
12a Did the organization obtain separate, independent audited financial statements for the tax year? If 'Yes,' complete Schedule D, Parts XI, and XII. . . . .		X
b Was the organization included in consolidated, independent audited financial statements for the tax year? If 'Yes,' and if the organization answered 'No' to line 12a, then completing Schedule D, Parts XI and XII is optional . . . . .		X
13 Is the organization a school described in section 170(b)(1)(A)(ii)? If 'Yes,' complete Schedule E. . . . .		X
14a Did the organization maintain an office, employees, or agents outside of the United States? . . . . .		X
b Did the organization have aggregate revenues or expenses of more than \$10,000 from grantmaking, fundraising, business, investment, and program service activities outside the United States, or aggregate foreign investments valued at \$100,000 or more? If 'Yes,' complete Schedule F, Parts I and IV . . . . .		X
15 Did the organization report on Part IX, column (A), line 3, more than \$5,000 of grants or other assistance to or for any foreign organization? If 'Yes,' complete Schedule F, Parts II and IV . . . . .		X
16 Did the organization report on Part IX, column (A), line 3, more than \$5,000 of aggregate grants or other assistance to or for foreign individuals? If 'Yes,' complete Schedule F, Parts III and IV . . . . .		X
17 Did the organization report a total of more than \$15,000 of expenses for professional fundraising services on Part IX, column (A), lines 6 and 11e? If 'Yes,' complete Schedule G, Part I (see instructions) . . . . .		X
18 Did the organization report more than \$15,000 total of fundraising event gross income and contributions on Part VIII, lines 1c and 8a? If 'Yes,' complete Schedule G, Part II . . . . .		X
19 Did the organization report more than \$15,000 of gross income from gaming activities on Part VIII, line 9a? If 'Yes,' complete Schedule G, Part III . . . . .		X

**Part IV Checklist of Required Schedules (continued)**

	Yes	No
<b>20a</b> Did the organization operate one or more hospital facilities? <i>If 'Yes,' complete Schedule H</i> . . . . .		X
<b>b</b> If 'Yes' to line 20a, did the organization attach a copy of its audited financial statements to this return? . . . . .		
<b>21</b> Did the organization report more than \$5,000 of grants or other assistance to any domestic organization or domestic government on Part IX, column (A), line 1? <i>If 'Yes,' complete Schedule I, Parts I and II</i> . . . . .		X
<b>22</b> Did the organization report more than \$5,000 of grants or other assistance to or for domestic individuals on Part IX, column (A), line 2? <i>If 'Yes,' complete Schedule I, Parts I and III</i> . . . . .		X
<b>23</b> Did the organization answer 'Yes' to Part VII, Section A, line 3, 4, or 5 about compensation of the organization's current and former officers, directors, trustees, key employees, and highest compensated employees? <i>If 'Yes,' complete Schedule J</i> . . . . .		X
<b>24a</b> Did the organization have a tax-exempt bond issue with an outstanding principal amount of more than \$100,000 as of the last day of the year, that was issued after December 31, 2002? <i>If 'Yes,' answer lines 24b through 24d and complete Schedule K. If 'No,' go to line 25a</i> . . . . .		X
<b>b</b> Did the organization invest any proceeds of tax-exempt bonds beyond a temporary period exception? . . . . .		
<b>c</b> Did the organization maintain an escrow account other than a refunding escrow at any time during the year to defease any tax-exempt bonds? . . . . .		
<b>d</b> Did the organization act as an 'on behalf of' issuer for bonds outstanding at any time during the year? . . . . .		
<b>25a</b> <b>Section 501(c)(3), 501(c)(4), and 501(c)(29) organizations.</b> Did the organization engage in an excess benefit transaction with a disqualified person during the year? <i>If 'Yes,' complete Schedule L, Part I</i> . . . . .		X
<b>b</b> Is the organization aware that it engaged in an excess benefit transaction with a disqualified person in a prior year, and that the transaction has not been reported on any of the organization's prior Forms 990 or 990-EZ? <i>If 'Yes,' complete Schedule L, Part I</i> . . . . .		X
<b>26</b> Did the organization report any amount on Part X, line 5, 6, or 22 for receivables from or payables to any current or former officers, directors, trustees, key employees, highest compensated employees, or disqualified persons? <i>If 'Yes,' complete Schedule L, Part II</i> . . . . .		X
<b>27</b> Did the organization provide a grant or other assistance to an officer, director, trustee, key employee, substantial contributor or employee thereof, a grant selection committee member, or to a 35% controlled entity or family member of any of these persons? <i>If 'Yes,' complete Schedule L, Part III</i> . . . . .		X
<b>28</b> Was the organization a party to a business transaction with one of the following parties (see Schedule L, Part IV instructions for applicable filing thresholds, conditions, and exceptions)		
<b>a</b> A current or former officer, director, trustee, or key employee? <i>If 'Yes,' complete Schedule L, Part IV</i> . . . . .		X
<b>b</b> A family member of a current or former officer, director, trustee, or key employee? <i>If 'Yes,' complete Schedule L, Part IV</i> . . . . .		X
<b>c</b> An entity of which a current or former officer, director, trustee, or key employee (or a family member thereof) was an officer, director, trustee, or direct or indirect owner? <i>If 'Yes,' complete Schedule L, Part IV</i> . . . . .		X
<b>29</b> Did the organization receive more than \$25,000 in non-cash contributions? <i>If 'Yes,' complete Schedule M</i> . . . . .		X
<b>30</b> Did the organization receive contributions of art, historical treasures, or other similar assets, or qualified conservation contributions? <i>If 'Yes,' complete Schedule M</i> . . . . .		X
<b>31</b> Did the organization liquidate, terminate, or dissolve and cease operations? <i>If 'Yes,' complete Schedule N, Part I</i> . . . . .		X
<b>32</b> Did the organization sell, exchange, dispose of, or transfer more than 25% of its net assets? <i>If 'Yes,' complete Schedule N, Part II</i> . . . . .		X
<b>33</b> Did the organization own 100% of an entity disregarded as separate from the organization under Regulations sections 301.7701-2 and 301.7701-3? <i>If 'Yes,' complete Schedule R, Part I</i> . . . . .		X
<b>34</b> Was the organization related to any tax-exempt or taxable entity? <i>If 'Yes,' complete Schedule R, Part II, III, or IV, and Part V, line 1</i> . . . . .		X
<b>35a</b> Did the organization have a controlled entity within the meaning of section 512(b)(13)? . . . . .		X
<b>b</b> If 'Yes' to line 35a, did the organization receive any payment from or engage in any transaction with a controlled entity within the meaning of section 512(b)(13)? <i>If 'Yes,' complete Schedule R, Part V, line 2</i> . . . . .		
<b>36</b> <b>Section 501(c)(3) organizations.</b> Did the organization make any transfers to an exempt non-charitable related organization? <i>If 'Yes,' complete Schedule R, Part V, line 2</i> . . . . .		X
<b>37</b> Did the organization conduct more than 5% of its activities through an entity that is not a related organization and that is treated as a partnership for federal income tax purposes? <i>If 'Yes,' complete Schedule R, Part VI</i> . . . . .		X
<b>38</b> Did the organization complete Schedule O and provide explanations in Schedule O for Part VI, lines 11b and 19? <b>Note.</b> All Form 990 filers are required to complete Schedule O . . . . .	X	

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Form 990 (2015)

**Part V Statements Regarding Other IRS Filings and Tax Compliance**Check if Schedule O contains a response or note to any line in this Part V ☐

		Yes	No
<b>1 a</b> Enter the number reported in Box 3 of Form 1096. Enter -0- if not applicable.	<b>1 a</b> 4		
<b>b</b> Enter the number of Forms W-2G included in line 1a. Enter -0- if not applicable.	<b>1 b</b> 0		
<b>c</b> Did the organization comply with backup withholding rules for reportable payments to vendors and reportable gaming (gambling) winnings to prize winners?	<b>1 c</b>		
<b>2 a</b> Enter the number of employees reported on Form W-3, Transmittal of Wage and Tax Statements, filed for the calendar year ending with or within the year covered by this return.	<b>2 a</b> 56		
<b>b</b> If at least one is reported on line 2a, did the organization file all required federal employment tax returns? <b>Note.</b> If the sum of lines 1a and 2a is greater than 250, you may be required to e-file (see instructions).	<b>2 b</b>	X	
<b>3 a</b> Did the organization have unrelated business gross income of \$1,000 or more during the year?	<b>3 a</b>		X
<b>b</b> If 'Yes,' has it filed a Form 990-T for this year? If 'No' to line 3b, provide an explanation in Schedule O.	<b>3 b</b>		
<b>4 a</b> At any time during the calendar year, did the organization have an interest in, or a signature or other authority over, a financial account in a foreign country (such as a bank account, securities account, or other financial account)?	<b>4 a</b>		X
<b>b</b> If 'Yes,' enter the name of the foreign country: See instructions for filing requirements for FinCEN Form 114, Report of Foreign Bank and Financial Accounts (FBAR)			
<b>5 a</b> Was the organization a party to a prohibited tax shelter transaction at any time during the tax year?	<b>5 a</b>		X
<b>b</b> Did any taxable party notify the organization that it was or is a party to a prohibited tax shelter transaction?	<b>5 b</b>		X
<b>c</b> If 'Yes,' to line 5a or 5b, did the organization file Form 8886-T?	<b>5 c</b>		
<b>6 a</b> Does the organization have annual gross receipts that are normally greater than \$100,000, and did the organization solicit any contributions that were not tax deductible as charitable contributions?	<b>6 a</b>		X
<b>b</b> If 'Yes,' did the organization include with every solicitation an express statement that such contributions or gifts were not tax deductible?	<b>6 b</b>		
<b>7 Organizations that may receive deductible contributions under section 170(c).</b>			
<b>a</b> Did the organization receive a payment in excess of \$75 made partly as a contribution and partly for goods and services provided to the payor?	<b>7 a</b>		X
<b>b</b> If 'Yes,' did the organization notify the donor of the value of the goods or services provided?	<b>7 b</b>		
<b>c</b> Did the organization sell, exchange, or otherwise dispose of tangible personal property for which it was required to file Form 8282?	<b>7 c</b>		X
<b>d</b> If 'Yes,' indicate the number of Forms 8282 filed during the year.	<b>7 d</b>		
<b>e</b> Did the organization receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?	<b>7 e</b>		X
<b>f</b> Did the organization, during the year, pay premiums, directly or indirectly, on a personal benefit contract?	<b>7 f</b>		X
<b>g</b> If the organization received a contribution of qualified intellectual property, did the organization file Form 8899 as required?	<b>7 g</b>		
<b>h</b> If the organization received a contribution of cars, boats, airplanes, or other vehicles, did the organization file a Form 1098-C?	<b>7 h</b>		
<b>8 Sponsoring organizations maintaining donor advised funds.</b> Did a donor advised fund maintained by the sponsoring organization have excess business holdings at any time during the year?	<b>8</b>		
<b>9 Sponsoring organizations maintaining donor advised funds.</b>			
<b>a</b> Did the sponsoring organization make any taxable distributions under section 4966?	<b>9 a</b>		
<b>b</b> Did the sponsoring organization make a distribution to a donor, donor advisor, or related person?	<b>9 b</b>		
<b>10 Section 501(c)(7) organizations.</b> Enter			
<b>a</b> Initiation fees and capital contributions included on Part VIII, line 12.	<b>10 a</b>		
<b>b</b> Gross receipts, included on Form 990, Part VIII, line 12, for public use of club facilities.	<b>10 b</b>		
<b>11 Section 501(c)(12) organizations.</b> Enter			
<b>a</b> Gross income from members or shareholders.	<b>11 a</b>		
<b>b</b> Gross income from other sources (Do not net amounts due or paid to other sources against amounts due or received from them.)	<b>11 b</b>		
<b>12 a Section 4947(a)(1) non-exempt charitable trusts.</b> Is the organization filing Form 990 in lieu of Form 1041?	<b>12 a</b>		
<b>b</b> If 'Yes,' enter the amount of tax-exempt interest received or accrued during the year.	<b>12 b</b>		
<b>13 Section 501(c)(29) qualified nonprofit health insurance issuers.</b>			
<b>a</b> Is the organization licensed to issue qualified health plans in more than one state? <b>Note.</b> See the instructions for additional information the organization must report on Schedule O.	<b>13 a</b>		
<b>b</b> Enter the amount of reserves the organization is required to maintain by the states in which the organization is licensed to issue qualified health plans.	<b>13 b</b>		
<b>c</b> Enter the amount of reserves on hand.	<b>13 c</b>		
<b>14 a</b> Did the organization receive any payments for indoor tanning services during the tax year?	<b>14 a</b>		X
<b>b</b> If 'Yes,' has it filed a Form 720 to report these payments? If 'No,' provide an explanation in Schedule O.	<b>14 b</b>		

**Part VI Governance, Management, and Disclosure** For each 'Yes' response to lines 2 through 7b below, and for a 'No' response to line 8a, 8b, or 10b below, describe the circumstances, processes, or changes in Schedule O. See instructions.Check if Schedule O contains a response or note to any line in this Part VI. ☒**Section A. Governing Body and Management**

	Yes	No
<b>1 a</b> Enter the number of voting members of the governing body at the end of the tax year . . . . .	5	
If there are material differences in voting rights among members of the governing body, or if the governing body delegated broad authority to an executive committee or similar committee, explain in Schedule O		
<b>1 b</b> Enter the number of voting members included in line 1a, above, who are independent . . . . .	5	
<b>2</b> Did any officer, director, trustee, or key employee have a family relationship or a business relationship with any other officer, director, trustee, or key employee? . . . . .		X
<b>3</b> Did the organization delegate control over management duties customarily performed by or under the direct supervision of officers, directors, or trustees, or key employees to a management company or other person? . . . . .		X
<b>4</b> Did the organization make any significant changes to its governing documents since the prior Form 990 was filed? . . . . .		X
<b>5</b> Did the organization become aware during the year of a significant diversion of the organization's assets? . . . . .		X
<b>6</b> Did the organization have members or stockholders? . . . . .		X
<b>7 a</b> Did the organization have members, stockholders, or other persons who had the power to elect or appoint one or more members of the governing body? . . . . .		X
<b>7 b</b> Are any governance decisions of the organization reserved to (or subject to approval by) members, stockholders, or persons other than the governing body? . . . . .		X
<b>8</b> Did the organization contemporaneously document the meetings held or written actions undertaken during the year by the following		
<b>a</b> The governing body? . . . . .	X	
<b>b</b> Each committee with authority to act on behalf of the governing body? . . . . .	X	
<b>9</b> Is there any officer, director, trustee, or key employee listed in Part VII, Section A, who cannot be reached at the organization's mailing address? If 'Yes,' provide the names and addresses in Schedule O . . . . .		X

**Section B. Policies** (This Section B requests information about policies not required by the Internal Revenue Code.)

	Yes	No
<b>10 a</b> Did the organization have local chapters, branches, or affiliates? . . . . .		X
<b>10 b</b> If 'Yes,' did the organization have written policies and procedures governing the activities of such chapters, affiliates, and branches to ensure their operations are consistent with the organization's exempt purposes? . . . . .		
<b>11 a</b> Has the organization provided a complete copy of this Form 990 to all members of its governing body before filing the form? . . . . .	X	
<b>11 b</b> Describe in Schedule O the process, if any, used by the organization to review this Form 990		
<b>12 a</b> Did the organization have a written conflict of interest policy? If 'No,' go to line 13 . . . . .	X	
<b>12 b</b> Were officers, directors, or trustees, and key employees required to disclose annually interests that could give rise to conflicts? . . . . .	X	
<b>12 c</b> Did the organization regularly and consistently monitor and enforce compliance with the policy? If 'Yes,' describe in Schedule O how this was done . . . . .	X	
<b>13</b> Did the organization have a written whistleblower policy? . . . . .	X	
<b>14</b> Did the organization have a written document retention and destruction policy? . . . . .	X	
<b>15</b> Did the process for determining compensation of the following persons include a review and approval by independent persons, comparability data, and contemporaneous substantiation of the deliberation and decision?		
<b>a</b> The organization's CEO, Executive Director, or top management official . . . . .		X
<b>b</b> Other officers or key employees of the organization . . . . .		X
If 'Yes' to line 15a or 15b, describe the process in Schedule O (see instructions)		
<b>16 a</b> Did the organization invest in, contribute assets to, or participate in a joint venture or similar arrangement with a taxable entity during the year? . . . . .		X
<b>16 b</b> If 'Yes,' did the organization follow a written policy or procedure requiring the organization to evaluate its participation in joint venture arrangements under applicable federal tax law, and take steps to safeguard the organization's exempt status with respect to such arrangements? . . . . .		

**Section C. Disclosure**

**17** List the states with which a copy of this Form 990 is required to be filed ▶

**18** Section 6104 requires an organization to make its Forms 1023 (or 1024 if applicable), 990, and 990-T (Section 501(c)(3)s only) available for public inspection. Indicate how you made these available. Check all that apply.

☒ Own website ☐ Another's website ☐ Upon request ☐ Other (explain in Schedule O)

**19** Describe in Schedule O whether (and if so, how) the organization made its governing documents, conflict of interest policy, and financial statements available to the public during the tax year

**20** State the name, address, and telephone number of the person who possesses the organization's books and records ▶

Jill Ramirez P.O. Box 1271 Austin TX 78767 (512) 585-7185

**Part VII Compensation of Officers, Directors, Trustees, Key Employees, Highest Compensated Employees, and Independent Contractors**Check if Schedule O contains a response or note to any line in this Part VII ☐**Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees****1 a** Complete this table for all persons required to be listed. Report compensation for the calendar year ending with or within the organization's tax year.

- List all of the organization's **current** officers, directors, trustees (whether individuals or organizations), regardless of amount of compensation. Enter -0- in columns (D), (E), and (F) if no compensation was paid.
- List all of the organization's **current** key employees, if any. See instructions for definition of 'key employee.'
- List the organization's five **current** highest compensated employees (other than an officer, director, trustee, or key employee) who received reportable compensation (Box 5 of Form W-2 and/or Box 7 of Form 1099-MISC) of more than \$100,000 from the organization and any related organizations.
- List all of the organization's **former** officers, key employees, and highest compensated employees who received more than \$100,000 of reportable compensation from the organization and any related organizations.
- List all of the organization's **former directors or trustees** that received, in the capacity as a former director or trustee of the organization, more than \$10,000 of reportable compensation from the organization and any related organizations.

List persons in the following order: individual trustees or directors; institutional trustees; officers; key employees; highest compensated employees; and former such persons.

☐ Check this box if neither the organization nor any related organization compensated any current officer, director, or trustee

(A) Name and Title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional trustee	Officer	Key employee	Highest compensated employee	Former			
(1) Tony Rosas Treasurer	5.00	X		X				0.	0.	0.
(2) Jose Orta Secretary	5.00	X		X				0.	0.	0.
(3) Raul Castaneda Chair	5.00	X		X				0.	0.	0.
(4) David Morales Vice Chair	5.00	X		X				0.	0.	0.
(5) Frank Rodriguez Executive Director	40.00			X				47,924.	0.	2,454.
(6) Gloria Perez-Stewart Board Member	5.00	X						0.	0.	0.
(7) Jill Ramirez Board Member thru 9/15	5.00	X						75,717.	0.	0.
(8) Linda Smith Board Member thru 9/15	5.00	X						74,798.	0.	0.
(9) Hector Torres Board Member thru 9/15	5.00	X						73,699.	0.	0.
(10)										
(11)										
(12)										
(13)										
(14)										

**Part VII Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees** (continued)

(A) Name and title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional trustee	Officer	Key employee	Highest compensated employee	Former			
(15) -----	-----									
(16) -----	-----									
(17) -----	-----									
(18) -----	-----									
(19) -----	-----									
(20) -----	-----									
(21) -----	-----									
(22) -----	-----									
(23) -----	-----									
(24) -----	-----									
(25) -----	-----									
<b>1 b Sub-total.</b> . . . . .							272,138.	0.	2,454.	
<b>c Total from continuation sheets to Part VII, Section A</b> . . . . .										
<b>d Total (add lines 1b and 1c)</b> . . . . .							272,138.	0.	2,454.	

**2** Total number of individuals (including but not limited to those listed above) who received more than \$100,000 of reportable compensation from the organization ▶

**3** Did the organization list any **former** officer, director, or trustee, key employee, or highest compensated employee on line 1a? If 'Yes,' complete Schedule J for such individual . . . . .

	Yes	No
<b>3</b>		X
<b>4</b>		X
<b>5</b>		X

**4** For any individual listed on line 1a, is the sum of reportable compensation and other compensation from the organization and related organizations greater than \$150,000? If 'Yes,' complete Schedule J for such individual . . . . .

**5** Did any person listed on line 1a receive or accrue compensation from any unrelated organization or individual for services rendered to the organization? If 'Yes,' complete Schedule J for such person . . . . .

**Section B. Independent Contractors**

**1** Complete this table for your five highest compensated independent contractors that received more than \$100,000 of compensation from the organization. Report compensation for the calendar year ending with or within the organization's tax year

(A) Name and business address	(B) Description of services	(C) Compensation

**2** Total number of independent contractors (including but not limited to those listed above) who received more than \$100,000 of compensation from the organization ▶



**Part VIII Statement of Revenue**Check if Schedule O contains a response or note to any line in this Part VIII ☐

			(A) Total revenue	(B) Related or exempt function revenue	(C) Unrelated business revenue	(D) Revenue excluded from tax under sections 512-514
<b>Contributions, Gifts, Grants and Other Similar Amounts</b>	<b>1 a</b> Federated campaigns . . . . .	<b>1 a</b>				
	<b>b</b> Membership dues . . . . .	<b>1 b</b>				
	<b>c</b> Fundraising events . . . . .	<b>1 c</b>				
	<b>d</b> Related organizations . . . . .	<b>1 d</b>				
	<b>e</b> Government grants (contributions) . .	<b>1 e</b>				
	<b>f</b> All other contributions, gifts, grants, and similar amounts not included above . .	<b>1 f</b> 993,108.				
	<b>g</b> Noncash contributions included in lines 1a-1f \$					
	<b>h Total.</b> Add lines 1a-1f . . . . .		993,108.			
<b>Program Service Revenue</b>	<b>Business Code</b>					
	<b>2 a</b> -----					
	<b>b</b> -----					
	<b>c</b> -----					
	<b>d</b> -----					
	<b>e</b> -----					
	<b>f</b> All other program service revenue . . .					
	<b>g Total.</b> Add lines 2a-2f . . . . .					
<b>Other Revenue</b>	<b>3</b> Investment income (including dividends, interest and other similar amounts) . . . . .					
	<b>4</b> Income from investment of tax-exempt bond proceeds . .					
	<b>5</b> Royalties . . . . .					
	<b>6 a</b> Gross rents . . . . .	(i) Real (ii) Personal				
	<b>b</b> Less rental expenses . . . . .					
	<b>c</b> Rental income or (loss) . . . . .					
	<b>d</b> Net rental income or (loss) . . . . .					
	<b>7 a</b> Gross amount from sales of assets other than inventory . . . . .	(i) Securities (ii) Other				
	<b>b</b> Less cost or other basis and sales expenses . . . . .					
	<b>c</b> Gain or (loss) . . . . .					
	<b>d</b> Net gain or (loss) . . . . .					
	<b>8 a</b> Gross income from fundraising events (not including \$ of contributions reported on line 1c). See Part IV, line 18. . . . .	<b>a</b>				
	<b>b</b> Less direct expenses . . . . .	<b>b</b>				
	<b>c</b> Net income or (loss) from fundraising events . . . . .					
	<b>9 a</b> Gross income from gaming activities See Part IV, line 19 . . . . .	<b>a</b>				
	<b>b</b> Less direct expenses . . . . .	<b>b</b>				
	<b>c</b> Net income or (loss) from gaming activities . . . . .					
	<b>10 a</b> Gross sales of inventory, less returns and allowances . . . . .	<b>a</b>				
<b>b</b> Less cost of goods sold . . . . .	<b>b</b>					
<b>c</b> Net income or (loss) from sales of inventory . . . . .						
<b>Miscellaneous Revenue</b>		<b>Business Code</b>				
<b>11 a</b> Other Revenue . . . . .	910009	6,045.	0.	0.	6,045.	
<b>b</b> -----						
<b>c</b> -----						
<b>d</b> All other revenue . . . . .						
<b>e Total.</b> Add lines 11a-11d . . . . .		6,045.				
<b>12 Total revenue.</b> See instructions . . . . .		999,153.	0.	0.	6,045.	

**Part IX Statement of Functional Expenses**

Section 501(c)(3) and 501(c)(4) organizations must complete all columns. All other organizations must complete column (A).

Check if Schedule O contains a response or note to any line in this Part IX. ☐

Do not include amounts reported on lines 6b, 7b, 8b, 9b, and 10b of Part VIII.	(A) Total expenses	(B) Program service expenses	(C) Management and general expenses	(D) Fundraising expenses
1 Grants and other assistance to domestic organizations and domestic governments. See Part IV, line 21.				
2 Grants and other assistance to domestic individuals. See Part IV, line 22.				
3 Grants and other assistance to foreign organizations, foreign governments, and foreign individuals. See Part IV, lines 15 and 16.				
4 Benefits paid to or for members.				
5 Compensation of current officers, directors, trustees, and key employees.				
6 Compensation not included above, to disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B).				
7 Other salaries and wages.	684,131.	571,060.	102,734.	10,337.
8 Pension plan accruals and contributions (include section 401(k) and 403(b) employer contributions).				
9 Other employee benefits.	2,454.	1,914.	344.	196.
10 Payroll taxes.	76,170.	63,221.	11,426.	1,523.
11 Fees for services (non-employees)				
a Management.				
b Legal.	1,600.	1,072.	496.	32.
c Accounting.	13,510.	10,350.	3,160.	0.
d Lobbying.				
e Professional fundraising services. See Part IV, line 17.				
f Investment management fees.				
g Other (If line 11g amount exceeds 10% of line 25, column (A) amount, list line 11g expenses on Schedule O.)	79,271.	51,870.	25,891.	1,510.
12 Advertising and promotion.	24,133.	24,133.	0.	0.
13 Office expenses.	61,581.	51,112.	10,469.	0.
14 Information technology.				
15 Royalties.				
16 Occupancy.	26,833.	22,271.	4,562.	0.
17 Travel.	27,216.	22,589.	4,627.	0.
18 Payments of travel or entertainment expenses for any federal, state, or local public officials.				
19 Conferences, conventions, and meetings.				
20 Interest.				
21 Payments to affiliates.				
22 Depreciation, depletion, and amortization.				
23 Insurance.	6,099.	5,062.	1,037.	0.
24 Other expenses. Itemize expenses not covered above (List miscellaneous expenses in line 24e. If line 24e amount exceeds 10% of line 25, column (A) amount, list line 24e expenses on Schedule O.)				
a -----				
b -----				
c -----				
d -----				
e All other expenses.	9,230.	7,661.	1,569.	0.
25 Total functional expenses. Add lines 1 through 24e.	1,012,228.	832,315.	166,315.	13,598.
26 Joint costs. Complete this line only if the organization reported in column (B) joint costs from a combined educational campaign and fundraising solicitation. Check here <input type="checkbox"/> if following SOP 98-2 (ASC 958-720).				

**Part X Balance Sheet**Check if Schedule O contains a response or note to any line in this Part X ☐

		(A) Beginning of year		(B) End of year
<b>Assets</b>	1 Cash — non-interest-bearing . . . . .	60,607.	1	47,532.
	2 Savings and temporary cash investments . . . . .		2	
	3 Pledges and grants receivable, net . . . . .		3	
	4 Accounts receivable, net . . . . .		4	
	5 Loans and other receivables from current and former officers, directors, trustees, key employees, and highest compensated employees. Complete Part II of Schedule L . . . . .		5	
	6 Loans and other receivables from other disqualified persons (as defined under section 4958(f)(1)), persons described in section 4958(c)(3)(B), and contributing employers and sponsoring organizations of section 501(c)(9) voluntary employees' beneficiary organizations (see instructions). Complete Part II of Schedule L . . . . .		6	
	7 Notes and loans receivable, net . . . . .		7	
	8 Inventories for sale or use . . . . .		8	
	9 Prepaid expenses and deferred charges . . . . .		9	
	10 a Land, buildings, and equipment cost or other basis. Complete Part VI of Schedule D . . . . .	10 a		
	b Less accumulated depreciation . . . . .	10 b	10 c	
	11 Investments — publicly traded securities . . . . .		11	
	12 Investments — other securities. See Part IV, line 11 . . . . .		12	
	13 Investments — program-related. See Part IV, line 11 . . . . .		13	
	14 Intangible assets . . . . .		14	
15 Other assets. See Part IV, line 11 . . . . .		15		
16 <b>Total assets.</b> Add lines 1 through 15 (must equal line 34) . . . . .	60,607.	16	47,532.	
<b>Liabilities</b>	17 Accounts payable and accrued expenses . . . . .		17	
	18 Grants payable . . . . .		18	
	19 Deferred revenue . . . . .		19	
	20 Tax-exempt bond liabilities . . . . .		20	
	21 Escrow or custodial account liability. Complete Part IV of Schedule D . . . . .		21	
	22 Loans and other payables to current and former officers, directors, trustees, key employees, highest compensated employees, and disqualified persons. Complete Part II of Schedule L . . . . .		22	
	23 Secured mortgages and notes payable to unrelated third parties . . . . .		23	
	24 Unsecured notes and loans payable to unrelated third parties . . . . .		24	
	25 Other liabilities (including federal income tax, payables to related third parties, and other liabilities not included on lines 17-24). Complete Part X of Schedule D . . . . .		25	
	26 <b>Total liabilities.</b> Add lines 17 through 25 . . . . .	0.	26	0.
<b>Net Assets or Fund Balances</b>	<b>Organizations that follow SFAS 117 (ASC 958), check here <input type="checkbox"/> and complete lines 27 through 29, and lines 33 and 34.</b>			
	27 Unrestricted net assets . . . . .		27	
	28 Temporarily restricted net assets . . . . .		28	
	29 Permanently restricted net assets . . . . .		29	
	<b>Organizations that do not follow SFAS 117 (ASC 958), check here <input checked="" type="checkbox"/> and complete lines 30 through 34.</b>			
	30 Capital stock or trust principal, or current funds . . . . .		30	
	31 Paid-in or capital surplus, or land, building, or equipment fund . . . . .		31	
	32 Retained earnings, endowment, accumulated income, or other funds . . . . .	60,607.	32	47,532.
33 <b>Total net assets or fund balances</b> . . . . .	60,607.	33	47,532.	
34 <b>Total liabilities and net assets/fund balances</b> . . . . .	60,607.	34	47,532.	

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Form 990 (2015)

**Part XI Reconciliation of Net Assets**Check if Schedule O contains a response or note to any line in this Part XI ☐

<b>1</b>	Total revenue (must equal Part VIII, column (A), line 12)	<b>1</b>	999,153.
<b>2</b>	Total expenses (must equal Part IX, column (A), line 25)	<b>2</b>	1,012,228.
<b>3</b>	Revenue less expenses. Subtract line 2 from line 1	<b>3</b>	-13,075.
<b>4</b>	Net assets or fund balances at beginning of year (must equal Part X, line 33, column (A))	<b>4</b>	60,607.
<b>5</b>	Net unrealized gains (losses) on investments	<b>5</b>	
<b>6</b>	Donated services and use of facilities	<b>6</b>	
<b>7</b>	Investment expenses	<b>7</b>	
<b>8</b>	Prior period adjustments	<b>8</b>	
<b>9</b>	Other changes in net assets or fund balances (explain in Schedule O)	<b>9</b>	
<b>10</b>	Net assets or fund balances at end of year. Combine lines 3 through 9 (must equal Part X, line 33, column (B))	<b>10</b>	47,532.

**Part XII Financial Statements and Reporting**Check if Schedule O contains a response or note to any line in this Part XII ☐

		Yes	No
<b>1</b>	Accounting method used to prepare the Form 990. <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual <input type="checkbox"/> Other _____		
If the organization changed its method of accounting from a prior year or checked 'Other,' explain in Schedule O			
<b>2 a</b>	Were the organization's financial statements compiled or reviewed by an independent accountant?		X
If 'Yes,' check a box below to indicate whether the financial statements for the year were compiled or reviewed on a separate basis, consolidated basis, or both			
<input type="checkbox"/> Separate basis <input type="checkbox"/> Consolidated basis <input type="checkbox"/> Both consolidated and separate basis			
<b>2 b</b>	Were the organization's financial statements audited by an independent accountant?	X	
If 'Yes,' check a box below to indicate whether the financial statements for the year were audited on a separate basis, consolidated basis, or both			
<input checked="" type="checkbox"/> Separate basis <input type="checkbox"/> Consolidated basis <input type="checkbox"/> Both consolidated and separate basis			
<b>2 c</b>	If 'Yes' to line 2a or 2b, does the organization have a committee that assumes responsibility for oversight of the audit, review, or compilation of its financial statements and selection of an independent accountant?	X	
If the organization changed either its oversight process or selection process during the tax year, explain in Schedule O			
<b>3 a</b>	As a result of a federal award, was the organization required to undergo an audit or audits as set forth in the Single Audit Act and OMB Circular A-133?		X
<b>3 b</b>	If 'Yes,' did the organization undergo the required audit or audits? If the organization did not undergo the required audit or audits, explain why in Schedule O and describe any steps taken to undergo such audits		

BAA

Form 990 (2015)

**SCHEDULE A**  
(Form 990 or 990-EZ)

Department of the Treasury  
Internal Revenue Service

**Public Charity Status and Public Support**

Complete if the organization is a section 501(c)(3) organization or a section 4947(a)(1) nonexempt charitable trust.

► Attach to Form 990 or Form 990-EZ.

► Information about Schedule A (Form 990 or 990-EZ) and its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990).

OMB No 1545-0047

**2015**

Open to Public  
Inspection

Name of the organization

Latino HealthCare Forum

Employer identification number

46-1170748

**Part I Reason for Public Charity Status** (All organizations must complete this part.) See instructions.

The organization is not a private foundation because it is: (For lines 1 through 11, check only one box.)

- 1 ☐ A church, convention of churches, or association of churches described in **section 170(b)(1)(A)(i)**.
- 2 ☐ A school described in **section 170(b)(1)(A)(ii)**. (Attach Schedule E (Form 990 or 990-EZ) )
- 3 ☐ A hospital or a cooperative hospital service organization described in **section 170(b)(1)(A)(iii)**.
- 4 ☐ A medical research organization operated in conjunction with a hospital described in **section 170(b)(1)(A)(iii)**. Enter the hospital's name, city, and state: \_\_\_\_\_
- 5 ☐ An organization operated for the benefit of a college or university owned or operated by a governmental unit described in **section 170(b)(1)(A)(iv)**. (Complete Part II.)
- 6 ☐ A federal, state, or local government or governmental unit described in **section 170(b)(1)(A)(v)**.
- 7 ☒ An organization that normally receives a substantial part of its support from a governmental unit or from the general public described in **section 170(b)(1)(A)(vi)**. (Complete Part II.)
- 8 ☐ A community trust described in **section 170(b)(1)(A)(vi)**. (Complete Part II.)
- 9 ☐ An organization that normally receives: (1) more than 33-1/3% of its support from contributions, membership fees, and gross receipts from activities related to its exempt functions — subject to certain exceptions, and (2) no more than 33-1/3% of its support from gross investment income and unrelated business taxable income (less section 511 tax) from businesses acquired by the organization after June 30, 1975. See **section 509(a)(2)**. (Complete Part III.)
- 10 ☐ An organization organized and operated exclusively to test for public safety. See **section 509(a)(4)**.
- 11 ☐ An organization organized and operated exclusively for the benefit of, to perform the functions of, or to carry out the purposes of one or more publicly supported organizations described in **section 509(a)(1)** or **section 509(a)(2)**. See **section 509(a)(3)**. Check the box in lines 11a through 11d that describes the type of supporting organization and complete lines 11e, 11f, and 11g.
  - a ☐ **Type I.** A supporting organization operated, supervised, or controlled by its supported organization(s), typically by giving the supported organization(s) the power to regularly appoint or elect a majority of the directors or trustees of the supporting organization. **You must complete Part IV, Sections A and B.**
  - b ☐ **Type II.** A supporting organization supervised or controlled in connection with its supported organization(s), by having control or management of the supporting organization vested in the same persons that control or manage the supported organization(s). **You must complete Part IV, Sections A and C.**
  - c ☐ **Type III functionally integrated.** A supporting organization operated in connection with, and functionally integrated with, its supported organization(s) (see instructions). **You must complete Part IV, Sections A, D, and E.**
  - d ☐ **Type III non-functionally integrated.** A supporting organization operated in connection with its supported organization(s) that is not functionally integrated. The organization generally must satisfy a distribution requirement and an attentiveness requirement (see instructions). **You must complete Part IV, Sections A and D, and Part V.**
  - e ☐ Check this box if the organization received a written determination from the IRS that it is a Type I, Type II, Type III functionally integrated, or Type III non-functionally integrated supporting organization.
  - f Enter the number of supported organizations:
  - g Provide the following information about the supported organization(s).

(i) Name of supported organization	(ii) EIN	(iii) Type of organization (described on lines 1-9 above (see instructions))	(iv) Is the organization listed in your governing document?		(v) Amount of monetary support (see instructions)	(vi) Amount of other support (see instructions)
			Yes	No		
(A)						
(B)						
(C)						
(D)						
(E)						
<b>Total</b>						

BAA For Paperwork Reduction Act Notice, see the Instructions for Form 990 or 990-EZ.

Schedule A (Form 990 or 990-EZ) 2015

**Part II. Support Schedule for Organizations Described in Sections 170(b)(1)(A)(iv) and 170(b)(1)(A)(vi)**

(Complete only if you checked the box on line 5, 7, or 8 of Part I or if the organization failed to qualify under Part III. If the organization fails to qualify under the tests listed below, please complete Part III.)

**Section A. Public Support**

Calendar year (or fiscal year beginning in) ▶	(a) 2011	(b) 2012	(c) 2013	(d) 2014	(e) 2015	(f) Total
1 Gifts, grants, contributions, and membership fees received (Do not include any 'unusual grants') . . . . .		1,100.	332,015.	711,454.	993,108.	2,037,677.
2 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf . . . . .						
3 The value of services or facilities furnished by a governmental unit to the organization without charge. . . . .						
4 <b>Total.</b> Add lines 1 through 3 . . . . .		1,100.	332,015.	711,454.	993,108.	2,037,677.
5 The portion of total contributions by each person (other than a governmental unit or publicly supported organization) included on line 1 that exceeds 2% of the amount shown on line 11, column (f) . . . . .						
6 <b>Public support.</b> Subtract line 5 from line 4 . . . . .						2,037,677.

**Section B. Total Support**

Calendar year (or fiscal year beginning in) ▶	(a) 2011	(b) 2012	(c) 2013	(d) 2014	(e) 2015	(f) Total
7 Amounts from line 4 . . . . .		1,100.	332,015.	711,454.	993,108.	2,037,677.
8 Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources . . . . .						
9 Net income from unrelated business activities, whether or not the business is regularly carried on . . . . .						
10 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI) . . . . .					6,045.	6,045.
11 <b>Total support.</b> Add lines 7 through 10 . . . . .						2,043,722.
12 Gross receipts from related activities, etc. (see instructions). . . . .					12	
13 <b>First five years.</b> If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and <b>stop here</b> . . . . . ▶ <input checked="" type="checkbox"/>						

**Section C. Computation of Public Support Percentage**

14 Public support percentage for 2015 (line 6, column (f) divided by line 11, column (f)) . . . . .	14	%
15 Public support percentage from 2014 Schedule A, Part II, line 14 . . . . .	15	%
16a <b>33-1/3% support test — 2015.</b> If the organization did not check the box on line 13, and line 14 is 33-1/3% or more, check this box and <b>stop here.</b> The organization qualifies as a publicly supported organization . . . . . ▶ <input type="checkbox"/>		
b <b>33-1/3% support test — 2014.</b> If the organization did not check a box on line 13 or 16a, and line 15 is 33-1/3% or more, check this box and <b>stop here.</b> The organization qualifies as a publicly supported organization . . . . . ▶ <input type="checkbox"/>		
17a <b>10%-facts-and-circumstances test — 2015.</b> If the organization did not check a box on line 13, 16a, or 16b, and line 14 is 10% or more, and if the organization meets the 'facts-and-circumstances' test, check this box and <b>stop here.</b> Explain in Part VI how the organization meets the 'facts-and-circumstances' test. The organization qualifies as a publicly supported organization . . . . . ▶ <input type="checkbox"/>		
b <b>10%-facts-and-circumstances test — 2014.</b> If the organization did not check a box on line 13, 16a, 16b, or 17a, and line 15 is 10% or more, and if the organization meets the 'facts-and-circumstances' test, check this box and <b>stop here.</b> Explain in Part VI how the organization meets the 'facts-and-circumstances' test. The organization qualifies as a publicly supported organization . . . . . ▶ <input type="checkbox"/>		
18 <b>Private foundation.</b> If the organization did not check a box on line 13, 16a, 16b, 17a, or 17b, check this box and see instructions . . . . . ▶ <input type="checkbox"/>		



**Part II Support Schedule for Organizations Described in Section 509(a)(2)**

(Complete only if you checked the box on line 9 of Part I or if the organization failed to qualify under Part II. If the organization fails to qualify under the tests listed below, please complete Part II.)

**Section A. Public Support**

Calendar year (or fiscal year beginning in) ▶	(a) 2011	(b) 2012	(c) 2013	(d) 2014	(e) 2015	(f) Total
<b>1</b> Gifts, grants, contributions and membership fees received (Do not include any 'unusual grants'). . . . .						
<b>2</b> Gross receipts from admissions, merchandise sold or services performed, or facilities furnished in any activity that is related to the organization's tax-exempt purpose . . . . .						
<b>3</b> Gross receipts from activities that are not an unrelated trade or business under section 513 . . . . .						
<b>4</b> Tax revenues levied for the organization's benefit and either paid to or expended on its behalf . . . . .						
<b>5</b> The value of services or facilities furnished by a governmental unit to the organization without charge. . . . .						
<b>6</b> <b>Total.</b> Add lines 1 through 5 . . . . .						
<b>7a</b> Amounts included on lines 1, 2, and 3 received from disqualified persons . . . . .						
<b>b</b> Amounts included on lines 2 and 3 received from other than disqualified persons that exceed the greater of \$5,000 or 1% of the amount on line 13 for the year . . . . .						
<b>c</b> Add lines 7a and 7b . . . . .						
<b>8</b> <b>Public support.</b> (Subtract line 7c from line 6) . . . . .						

**Section B. Total Support**

Calendar year (or fiscal year beginning in) ▶	(a) 2011	(b) 2012	(c) 2013	(d) 2014	(e) 2015	(f) Total
<b>9</b> Amounts from line 6 . . . . .						
<b>10a</b> Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources . . . . .						
<b>b</b> Unrelated business taxable income (less section 511 taxes) from businesses acquired after June 30, 1975 . . . . .						
<b>c</b> Add lines 10a and 10b . . . . .						
<b>11</b> Net income from unrelated business activities not included in line 10b, whether or not the business is regularly carried on . . . . .						
<b>12</b> Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI) . . . . .						
<b>13</b> <b>Total support.</b> (Add lines 9, 10c, 11, and 12) . . . . .						
<b>14</b> <b>First five years.</b> If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and <b>stop here</b> . . . . . ▶ <input type="checkbox"/>						

**Section C. Computation of Public Support Percentage**

<b>15</b> Public support percentage for 2015 (line 8, column (f) divided by line 13, column (f)) . . . . .	<b>15</b>	%
<b>16</b> Public support percentage from 2014 Schedule A, Part III, line 15. . . . .	<b>16</b>	%

**Section D. Computation of Investment Income Percentage**

<b>17</b> Investment income percentage for 2015 (line 10c, column (f) divided by line 13, column (f)) . . . . .	<b>17</b>	%
<b>18</b> Investment income percentage from 2014 Schedule A, Part III, line 17 . . . . .	<b>18</b>	%
<b>19a</b> <b>33-1/3% support tests — 2015.</b> If the organization did not check the box on line 14, and line 15 is more than 33-1/3%, and line 17 is not more than 33-1/3%, check this box and <b>stop here</b> . The organization qualifies as a publicly supported organization . . . . . ▶ <input type="checkbox"/>		
<b>b</b> <b>33-1/3% support tests — 2014.</b> If the organization did not check a box on line 14 or line 19a, and line 16 is more than 33-1/3%, and line 18 is not more than 33-1/3%, check this box and <b>stop here</b> . The organization qualifies as a publicly supported organization . . . . . ▶ <input type="checkbox"/>		
<b>20</b> <b>Private foundation.</b> If the organization did not check a box on line 14, 19a, or 19b, check this box and see instructions. . . . . ▶ <input type="checkbox"/>		

**Part IV Supporting Organizations**

(Complete only if you checked a box in line 11 on Part I. If you checked 11a of Part I, complete Sections A and B. If you checked 11b of Part I, complete Sections A and C. If you checked 11c of Part I, complete Sections A, D, and E. If you checked 11d of Part I, complete Sections A and D, and complete Part V.)

**Section A. All Supporting Organizations**

	Yes	No
<b>1</b> Are all of the organization's supported organizations listed by name in the organization's governing documents? If 'No,' describe in <b>Part VI</b> how the supported organizations are designated. If designated by class or purpose, describe the designation. If historic and continuing relationship, explain . . . . .		
<b>2</b> Did the organization have any supported organization that does not have an IRS determination of status under section 509(a)(1) or (2)? If 'Yes,' explain in <b>Part VI</b> how the organization determined that the supported organization was described in section 509(a)(1) or (2) . . . . .		
<b>3a</b> Did the organization have a supported organization described in section 501(c)(4), (5), or (6)? If 'Yes,' answer (b) and (c) below . . . . .		
<b>b</b> Did the organization confirm that each supported organization qualified under section 501(c)(4), (5), or (6) and satisfied the public support tests under section 509(a)(2)? If 'Yes,' describe in <b>Part VI</b> when and how the organization made the determination . . . . .		
<b>c</b> Did the organization ensure that all support to such organizations was used exclusively for section 170(c)(2)(B) purposes? If 'Yes,' explain in <b>Part VI</b> what controls the organization put in place to ensure such use . . . . .		
<b>4a</b> Was any supported organization not organized in the United States ('foreign supported organization')? If 'Yes' and if you checked 11a or 11b in Part I, answer (b) and (c) below . . . . .		
<b>b</b> Did the organization have ultimate control and discretion in deciding whether to make grants to the foreign supported organization? If 'Yes,' describe in <b>Part VI</b> how the organization had such control and discretion despite being controlled or supervised by or in connection with its supported organizations . . . . .		
<b>c</b> Did the organization support any foreign supported organization that does not have an IRS determination under sections 501(c)(3) and 509(a)(1) or (2)? If 'Yes,' explain in <b>Part VI</b> what controls the organization used to ensure that all support to the foreign supported organization was used exclusively for section 170(c)(2)(B) purposes . . . . .		
<b>5a</b> Did the organization add, substitute, or remove any supported organizations during the tax year? If 'Yes,' answer (b) and (c) below (if applicable). Also, provide detail in <b>Part VI</b> , including (i) the names and EIN numbers of the supported organizations added, substituted, or removed, (ii) the reasons for each such action, (iii) the authority under the organization's organizing document authorizing such action, and (iv) how the action was accomplished (such as by amendment to the organizing document) . . . . .		
<b>b</b> <b>Type I or Type II only.</b> Was any added or substituted supported organization part of a class already designated in the organization's organizing document? . . . . .		
<b>c</b> <b>Substitutions only.</b> Was the substitution the result of an event beyond the organization's control? . . . . .		
<b>6</b> Did the organization provide support (whether in the form of grants or the provision of services or facilities) to anyone other than (i) its supported organizations, (ii) individuals that are part of the charitable class benefited by one or more of its supported organizations, or (iii) other supporting organizations that also support or benefit one or more of the filing organization's supported organizations? If 'Yes,' provide detail in <b>Part VI</b> . . . . .		
<b>7</b> Did the organization provide a grant, loan, compensation, or other similar payment to a substantial contributor (defined in section 4958(c)(3)(C)), a family member of a substantial contributor, or a 35% controlled entity with regard to a substantial contributor? If 'Yes,' complete Part I of Schedule L (Form 990 or 990-EZ) . . . . .		
<b>8</b> Did the organization make a loan to a disqualified person (as defined in section 4958) not described in line 7? If 'Yes,' complete Part I of Schedule L (Form 990 or 990-EZ) . . . . .		
<b>9a</b> Was the organization controlled directly or indirectly at any time during the tax year by one or more disqualified persons as defined in section 4946 (other than foundation managers and organizations described in section 509(a)(1) or (2))? If 'Yes,' provide detail in <b>Part VI</b> . . . . .		
<b>b</b> Did one or more disqualified persons (as defined in line 9a) hold a controlling interest in any entity in which the supporting organization had an interest? If 'Yes,' provide detail in <b>Part VI</b> . . . . .		
<b>c</b> Did a disqualified person (as defined in line 9a) have an ownership interest in, or derive any personal benefit from, assets in which the supporting organization also had an interest? If 'Yes,' provide detail in <b>Part VI</b> . . . . .		
<b>10a</b> Was the organization subject to the excess business holdings rules of section 4943 because of section 4943(f) (regarding certain Type II supporting organizations, and all Type III non-functionally integrated supporting organizations)? If 'Yes,' answer 10b below . . . . .		
<b>b</b> Did the organization have any excess business holdings in the tax year? (Use Schedule C, Form 4720, to determine whether the organization had excess business holdings) . . . . .		

**Part IV Supporting Organizations (continued)**

	Yes	No
11 Has the organization accepted a gift or contribution from any of the following persons?		
a A person who directly or indirectly controls, either alone or together with persons described in (b) and (c) below, the governing body of a supported organization?	11a	
b A family member of a person described in (a) above?	11b	
c A 35% controlled entity of a person described in (a) or (b) above? If 'Yes' to a, b, or c, provide detail in Part VI	11c	

**Section B. Type I Supporting Organizations**

	Yes	No
1 Did the directors, trustees, or membership of one or more supported organizations have the power to regularly appoint or elect at least a majority of the organization's directors or trustees at all times during the tax year? If 'No,' describe in Part VI how the supported organization(s) effectively operated, supervised, or controlled the organization's activities. If the organization had more than one supported organization, describe how the powers to appoint and/or remove directors or trustees were allocated among the supported organizations and what conditions or restrictions, if any, applied to such powers during the tax year	1	
2 Did the organization operate for the benefit of any supported organization other than the supported organization(s) that operated, supervised, or controlled the supporting organization? If 'Yes,' explain in Part VI how providing such benefit carried out the purposes of the supported organization(s) that operated, supervised, or controlled the supporting organization	2	

**Section C. Type II Supporting Organizations**

	Yes	No
1 Were a majority of the organization's directors or trustees during the tax year also a majority of the directors or trustees of each of the organization's supported organization(s)? If 'No,' describe in Part VI how control or management of the supporting organization was vested in the same persons that controlled or managed the supported organization(s)	1	

**Section D. All Type III Supporting Organizations**

	Yes	No
1 Did the organization provide to each of its supported organizations, by the last day of the fifth month of the organization's tax year, (i) a written notice describing the type and amount of support provided during the prior tax year, (ii) a copy of the Form 990 that was most recently filed as of the date of notification, and (iii) copies of the organization's governing documents in effect on the date of notification, to the extent not previously provided?	1	
2 Were any of the organization's officers, directors, or trustees either (i) appointed or elected by the supported organization(s) or (ii) serving on the governing body of a supported organization? If 'No,' explain in Part VI how the organization maintained a close and continuous working relationship with the supported organization(s).	2	
3 By reason of the relationship described in (2), did the organization's supported organizations have a significant voice in the organization's investment policies and in directing the use of the organization's income or assets at all times during the tax year? If 'Yes,' describe in Part VI the role the organization's supported organizations played in this regard	3	

**Section E. Type III Functionally-Integrated Supporting Organizations**

1 Check the box next to the method that the organization used to satisfy the Integral Part Test during the year (see instructions):

- a ☐ The organization satisfied the Activities Test. Complete line 2 below
- b ☐ The organization is the parent of each of its supported organizations. Complete line 3 below
- c ☐ The organization supported a governmental entity. Describe in Part VI how you supported a government entity (see instructions)

2 Activities Test. Answer (a) and (b) below.

a Did substantially all of the organization's activities during the tax year directly further the exempt purposes of the supported organization(s) to which the organization was responsive? If 'Yes,' then in Part VI identify those supported organizations and explain how these activities directly furthered their exempt purposes, how the organization was responsive to those supported organizations, and how the organization determined that these activities constituted substantially all of its activities

b Did the activities described in (a) constitute activities that, but for the organization's involvement, one or more of the organization's supported organization(s) would have been engaged in? If 'Yes,' explain in Part VI the reasons for the organization's position that its supported organization(s) would have engaged in these activities but for the organization's involvement

3 Parent of Supported Organizations. Answer (a) and (b) below.

a Did the organization have the power to regularly appoint or elect a majority of the officers, directors, or trustees of each of the supported organizations? Provide details in Part VI.

b Did the organization exercise a substantial degree of direction over the policies, programs, and activities of each of its supported organizations? If 'Yes,' describe in Part VI the role played by the organization in this regard

	Yes	No
2a		
2b		
3a		
3b		

**Part V Type III Non-Functionally Integrated 509(a)(3) Supporting Organizations**

- 1 ☐ Check here if the organization satisfied the Integral Part Test as a qualifying trust on November 20, 1970. See instructions. All other Type III non-functionally integrated supporting organizations must complete Sections A through E.

**Section A – Adjusted Net Income**

(A) Prior Year

(B) Current Year  
(optional)

1	Net short-term capital gain . . . . .	1		
2	Recoveries of prior-year distributions . . . . .	2		
3	Other gross income (see instructions) . . . . .	3		
4	Add lines 1 through 3 . . . . .	4		
5	Depreciation and depletion . . . . .	5		
6	Portion of operating expenses paid or incurred for production or collection of gross income or for management, conservation, or maintenance of property held for production of income (see instructions) . . . . .	6		
7	Other expenses (see instructions) . . . . .	7		
8	<b>Adjusted Net Income</b> (subtract lines 5, 6 and 7 from line 4) . . . . .	8		

**Section B – Minimum Asset Amount**

(A) Prior Year

(B) Current Year  
(optional)

1	Aggregate fair market value of all non-exempt-use assets (see instructions for short tax year or assets held for part of year)			
a	Average monthly value of securities . . . . .	1 a		
b	Average monthly cash balances . . . . .	1 b		
c	Fair market value of other non-exempt-use assets . . . . .	1 c		
d	<b>Total</b> (add lines 1a, 1b, and 1c) . . . . .	1 d		
e	<b>Discount</b> claimed for blockage or other factors (explain in detail in Part VI)			
2	Acquisition indebtedness applicable to non-exempt-use assets . . . . .	2		
3	Subtract line 2 from line 1d . . . . .	3		
4	Cash deemed held for exempt use. Enter 1-1/2% of line 3 (for greater amount, see instructions) . . . . .	4		
5	Net value of non-exempt-use assets (subtract line 4 from line 3) . . . . .	5		
6	Multiply line 5 by .035 . . . . .	6		
7	Recoveries of prior-year distributions . . . . .	7		
8	<b>Minimum Asset Amount</b> (add line 7 to line 6) . . . . .	8		

**Section C – Distributable Amount**

Current Year

1	Adjusted net income for prior year (from Section A, line 8, Column A) . . . . .	1		
2	Enter 85% of line 1 . . . . .	2		
3	Minimum asset amount for prior year (from Section B, line 8, Column A) . . . . .	3		
4	Enter greater of line 2 or line 3 . . . . .	4		
5	Income tax imposed in prior year . . . . .	5		
6	<b>Distributable Amount.</b> Subtract line 5 from line 4, unless subject to emergency temporary reduction (see instructions) . . . . .	6		

- 7 ☐ Check here if the current year is the organization's first as a non-functionally-integrated Type III supporting organization (see instructions)

BAA

Schedule A (Form 990 or 990-EZ) 2015

**Part V Type III Non-Functionally Integrated 509(a)(3) Supporting Organizations (continued)****Section D – Distributions**

	Current Year
<b>1</b> Amounts paid to supported organizations to accomplish exempt purposes . . . . .	
<b>2</b> Amounts paid to perform activity that directly furthers exempt purposes of supported organizations, in excess of income from activity . . . . .	
<b>3</b> Administrative expenses paid to accomplish exempt purposes of supported organizations . . . . .	
<b>4</b> Amounts paid to acquire exempt-use assets . . . . .	
<b>5</b> Qualified set-aside amounts (prior IRS approval required). . . . .	
<b>6</b> Other distributions (describe in <b>Part VI</b> ) See instructions . . . . .	
<b>7 Total annual distributions.</b> Add lines 1 through 6 . . . . .	
<b>8</b> Distributions to attentive supported organizations to which the organization is responsive (provide details in <b>Part VI</b> ) See instructions. . . . .	
<b>9</b> Distributable amount for 2015 from Section C, line 6 . . . . .	
<b>10</b> Line 8 amount divided by Line 9 amount . . . . .	

**Section E – Distribution Allocations (see instructions)**

	(i) Excess Distributions	(ii) Underdistributions Pre-2015	(iii) Distributable Amount for 2015
<b>1</b> Distributable amount for 2015 from Section C, line 6 . . . . .			
<b>2</b> Underdistributions, if any, for years prior to 2015 (reasonable cause required – see instructions) . . . . .			
<b>3</b> Excess distributions carryover, if any, to 2015:			
<b>a</b> . . . . .			
<b>b</b> . . . . .			
<b>c</b> . . . . .			
<b>d</b> From 2013 . . . . .			
<b>e</b> From 2014 . . . . .			
<b>f Total</b> of lines 3a through e . . . . .			
<b>g</b> Applied to underdistributions of prior years . . . . .			
<b>h</b> Applied to 2015 distributable amount . . . . .			
<b>i</b> Carryover from 2010 not applied (see instructions) . . . . .			
<b>j</b> Remainder Subtract lines 3g, 3h, and 3i from 3f . . . . .			
<b>4</b> Distributions for 2015 from Section D, line 7 \$ . . . . .			
<b>a</b> Applied to underdistributions of prior years . . . . .			
<b>b</b> Applied to 2015 distributable amount . . . . .			
<b>c</b> Remainder Subtract lines 4a and 4b from 4 . . . . .			
<b>5</b> Remaining underdistributions for years prior to 2015, if any Subtract lines 3g and 4a from line 2 (if amount greater than zero, see instructions) . . . . .			
<b>6</b> Remaining underdistributions for 2015 Subtract lines 3h and 4b from line 1 (if amount greater than zero, see instructions) . . . . .			
<b>7 Excess distributions carryover to 2016.</b> Add lines 3j and 4c . . . . .			
<b>8</b> Breakdown of line 7:			
<b>a</b> . . . . .			
<b>b</b> . . . . .			
<b>c</b> Excess from 2013 . . . . .			
<b>d</b> Excess from 2014 . . . . .			
<b>e</b> Excess from 2015 . . . . .			

BAA

Schedule A (Form 990 or 990-EZ) 2015

**Part VI** **Supplemental Information.** Provide the explanations required by Part II, line 10, Part II, line 17a or 17b, Part III, line 12; Part IV, Section A, lines 1, 2, 3b, 3c, 4b, 4c, 5a, 6, 9a, 9b, 9c, 11a, 11b, and 11c; Part IV, Section B, lines 1 and 2; Part IV, Section C, line 1; Part IV, Section D, lines 2 and 3; Part IV, Section E, lines 1c, 2a, 2b, 3a and 3b; Part V, line 1; Part V, Section B, line 1e; Part V, Section D, lines 5, 6, and 8, and Part V, Section E, lines 2, 5, and 6. Also complete this part for any additional information (See instructions).

Pt II Ln 10 Other Income Part II, Line 10 Description: Other Revenue 2015: 6045.



**SCHEDULE O**  
**(Form 990 or 990-EZ)**

Department of the Treasury  
Internal Revenue Service

**Supplemental Information to Form 990 or 990-EZ**

Complete to provide information for responses to specific questions on  
Form 990 or 990-EZ or to provide any additional information.

► Attach to Form 990 or 990-EZ.

► Information about Schedule O (Form 990 or 990-EZ) and its instructions is  
at [www.irs.gov/form990](http://www.irs.gov/form990).

OMB No 1545-0047

**2015**

**Open to Public  
Inspection**

Name of the organization

Latino HealthCare Forum

Employer identification number

46-1170748

The Board of Directors is an active and engaged board. They have an understanding of the Form 990 and that it is designed to enhance transparency of the organization's mission and activities and promote compliance with applicable tax law requirements. The board reviews all parts of the 990 in order to effectively perform their fiduciary responsibilities. They review the 990 according to a checklist for each part; Part I - Summary to ensure the mission is clearly articulated; Part II - Program Service to increase awareness by describing program services; Part IV - to ensure schedules or completed; Part V - to adhere to compliance requirements; Part VI - to make sure the organization promotes transparency; Part VII - to check that excessive compensation is justifiable ; Part VIII - review of detailed information on sources of support; and all other Parts concerning expenses, balance sheet, political activities, and compensation information is detailed.

Pt VI, Line 11b

Pt VI, Line 12c

Pt VI, Line 19

The Board of Directors review the policy.

There is a link found on the website.

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Schedule O (Form 990), Supplemental Information to Form 990  
**Form 990, Page 2, Part III, Line 1 (continued)**

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Briefly describe the organization's mission:

vision is to support a nation free of disparities in health and healthcare.  
(continued on Schedule O)

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## Return of Organization Exempt From Income Tax

Under section 501(c), 527, or 4947(a)(1) of the Internal Revenue Code (except private foundations)

- Do not enter social security numbers on this form as it may be made public.  
Information about Form 990 and its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990).

2016

Open to Public Inspection

Department of the Treasury  
Internal Revenue Service

## A For the 2016 calendar year, or tax year beginning 2016, and ending

B Check if applicable: <input type="checkbox"/> Address change <input type="checkbox"/> Name change <input type="checkbox"/> Initial return <input type="checkbox"/> Final return/terminated <input type="checkbox"/> Amended return <input type="checkbox"/> Application pending	C Name of organization <b>Latino HealthCare Forum</b>		D Employer identification number <b>46-1170748</b>
	Doing business as		E Telephone number <b>(512) 585-7185</b>
	Number and street (or P.O. box if mail is not delivered to street address) Room/suite <b>P.O. Box 1271</b>		G Gross receipts \$ <b>602,771.</b>
	City or town, state or province, country, and ZIP or foreign postal code <b>Austin TX 78767</b>		H(a) Is this a group return for subordinates? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
	F Name and address of principal officer <b>Jill Ramirez P.O. Box 1271 Austin TX 78767</b>		H(b) Are all subordinates included? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No If 'No,' attach a list (see instructions)
I Tax-exempt status <input checked="" type="checkbox"/> 501(c)(3) <input type="checkbox"/> 501(c) ( ) (insert no) <input type="checkbox"/> 4947(a)(1) or <input type="checkbox"/> 527		H(c) Group exemption number	
J Website: <b>N/A</b>			
K Form of organization <input checked="" type="checkbox"/> Corporation <input type="checkbox"/> Trust <input type="checkbox"/> Association <input type="checkbox"/> Other		L Year of formation <b>2011</b>	M State of legal domicile <b>TX</b>

## Part I Summary

Activities & Governance	1 Briefly describe the organization's mission or most significant activities. <u>The Latino HealthCare Forum's mission is to reduce racial and ethnic health disparities. The LHCF vision is to support a nation free of disparities in health and healthcare. (continued on Schedule O)</u>		
	2 Check this box <input type="checkbox"/> if the organization discontinued its operations or disposed of more than 25% of its net assets		
	3 Number of voting members of the governing body (Part VI, line 1a) . . . . .	<b>3</b>	<b>5</b>
	4 Number of independent voting members of the governing body (Part VI, line 1b) . . . . .	<b>4</b>	<b>5</b>
	5 Total number of individuals employed in calendar year 2016 (Part V, line 2a) . . . . .	<b>5</b>	<b>39</b>
	6 Total number of volunteers (estimate if necessary) . . . . .	<b>6</b>	<b>5</b>
Revenue	7a Total unrelated business revenue from Part VIII, column (C), line 12 . . . . .	<b>7a</b>	<b>0.</b>
	b Net unrelated business taxable income from Form 990-T, line 34 . . . . .	<b>7b</b>	<b>0.</b>
	8 Contributions and grants (Part VIII, line 1h) . . . . .	<b>Prior Year</b>	<b>Current Year</b>
	9 Program service revenue (Part VIII, line 2g) . . . . .	<b>993,108.</b>	<b>598,510.</b>
	10 Investment income (Part VIII, column (A), lines 3, 4, and 7d) . . . . .		
	11 Other revenue (Part VIII, column (A), lines 5, 6d, 8c, 9c, 10c, and 11e) . . . . .	<b>6,045.</b>	<b>4,261.</b>
	12 Total revenue - add lines 8 through 11 (must equal Part VIII, column (A), line 12) . . . . .	<b>999,153.</b>	<b>602,771.</b>
	13 Grants and similar amounts paid (Part IX, column (A), lines 1-3) . . . . .		
	14 Benefits paid to or for members (Part IX, column (A), line 4) . . . . .		
	15 Salaries, other compensation, employee benefits (Part IX, column (A), lines 5-10) . . . . .	<b>762,755.</b>	<b>453,106.</b>
Expenses	16a Professional fundraising fees (Part IX, column (A), line 11e) . . . . .		
	b Total fundraising expenses (Part IX, column (D), line 25) ▶ <b>11,165.</b>		
	17 Other expenses (Part IX, column (A), lines 11a-11d, 11f-24e) . . . . .	<b>249,473.</b>	<b>234,242.</b>
	18 Total expenses. Add lines 13-17 (must equal Part IX, column (A), line 25) . . . . .	<b>1,012,228.</b>	<b>687,348.</b>
	19 Revenue less expenses Subtract line 18 from line 12 . . . . .	<b>-13,075.</b>	<b>-84,577.</b>
Net Assets or Fund Balances	20 Total assets (Part X, line 16) . . . . .	<b>Beginning of Current Year</b>	<b>End of Year</b>
	21 Total liabilities (Part X, line 26) . . . . .	<b>47,532.</b>	<b>114,748.</b>
	22 Net assets or fund balances Subtract line 21 from line 20 . . . . .		<b>91,224.</b>
		<b>47,532.</b>	<b>23,524.</b>

## Part II Signature Block

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete. Declaration of preparer (other than officer) is based on all information of which preparer has any knowledge.

Sign Here	Signature of officer <b>Jill Ramirez</b>	Date <b>10-12-17</b>
	Type or print name and title	
Paid Preparer Use Only	Pnn/Type preparer's name <b>Arturo Montemayor III</b>	Preparer's signature <b>[Signature]</b>
	Firm's name <b>Montemayor Britton Bender PC</b>	Date <b>10.2.17</b>
	Firm's address <b>2525 Wallingwood Drive, Bldg 1, Ste 200 Austin TX 78746</b>	Check <input type="checkbox"/> if self-employed PTIN <b>P01388530</b>
		Firm's EIN ▶ <b>74-2902112</b> Phone no <b>(512) 442-0380</b>

May the IRS discuss this return with the preparer shown above? (see instructions) ☒ Yes ☐ No

BAA For Paperwork Reduction Act Notice, see the separate instructions.

TEEA0101 11/16/16

Form 990 (2016)

SCANNED NOV 07 2017

710 RECEIVED 710  
OCT 17 2017  
IRS-AUSTIN, TEXAS

626 5

**Part III Statement of Program Service Accomplishments**Check if Schedule O contains a response or note to any line in this Part III ☐**1** Briefly describe the organization's mission

The Latino HealthCare Forum's mission is to reduce racial and ethnic health disparities. The LHCF See Form 990, Page 2, Part III, Line 1 (continued)

**2** Did the organization undertake any significant program services during the year which were not listed on the prior Form 990 or 990-EZ? ☐ Yes ☒ No

If 'Yes,' describe these new services on Schedule O

**3** Did the organization cease conducting, or make significant changes in how it conducts, any program services? ☐ Yes ☒ No

If 'Yes,' describe these changes on Schedule O

**4** Describe the organization's program service accomplishments for each of its three largest program services, as measured by expenses. Section 501(c)(3) and 501(c)(4) organizations are required to report the amount of grants and allocations to others, the total expenses, and revenue, if any, for each program service reported**4 a** (Code ) (Expenses \$ 364,380. including grants of \$ 0.) (Revenue \$ 0.)

The Latino HealthCare Forum (LHCF) provided outreach education, and enrollment services for the Affordable Care Act's Insurance Marketplace. The LHCF as a consumer focused non-profit group provided public education activities to raise awareness of the availability of qualified health plans; distributed fair and impartial information about enrollment in qualified health plans and the availability of premium tax credits; facilitated enrollment in qualified health plans; provided referrals to appropriate agencies for public insurance assistance; and provided information in a culturally and linguistically manner.

**4 b** (Code ) (Expenses \$ 138,000. including grants of \$ 0.) (Revenue \$ 0.)

The LHCF provides health promotion services to the vulnerable population to assist them with tools and resources in self-managing their health and healthcare.

**4 c** (Code ) (Expenses \$ 50,000. including grants of \$ 0.) (Revenue \$ 0.)

Other Program Services - Mainly include providing assistance to other health organizations in the community whose services aligned with our mission.

**4 d** Other program services (Describe in Schedule O )

(Expenses \$ including grants of \$ ) (Revenue \$ )

**4 e** Total program service expenses 552,380.

**Part IV Checklist of Required Schedules**

	Yes	No
1 Is the organization described in section 501(c)(3) or 4947(a)(1) (other than a private foundation)? If 'Yes,' complete Schedule A . . . . .	X	
2 Is the organization required to complete Schedule B, Schedule of Contributors (see instructions)? . . . . .	X	
3 Did the organization engage in direct or indirect political campaign activities on behalf of or in opposition to candidates for public office? If 'Yes,' complete Schedule C, Part I . . . . .		X
4 Section 501(c)(3) organizations. Did the organization engage in lobbying activities, or have a section 501(h) election in effect during the tax year? If 'Yes,' complete Schedule C, Part II . . . . .		X
5 Is the organization a section 501(c)(4), 501(c)(5), or 501(c)(6) organization that receives membership dues, assessments, or similar amounts as defined in Revenue Procedure 98-19? If 'Yes,' complete Schedule C, Part III . . . . .		X
6 Did the organization maintain any donor advised funds or any similar funds or accounts for which donors have the right to provide advice on the distribution or investment of amounts in such funds or accounts? If 'Yes,' complete Schedule D, Part I . . . . .		X
7 Did the organization receive or hold a conservation easement, including easements to preserve open space, the environment, historic land areas, or historic structures? If 'Yes,' complete Schedule D, Part II . . . . .		X
8 Did the organization maintain collections of works of art, historical treasures, or other similar assets? If 'Yes,' complete Schedule D, Part III . . . . .		X
9 Did the organization report an amount in Part X, line 21, for escrow or custodial account liability, serve as a custodian for amounts not listed in Part X, or provide credit counseling, debt management, credit repair, or debt negotiation services? If 'Yes,' complete Schedule D, Part IV . . . . .		X
10 Did the organization, directly or through a related organization, hold assets in temporarily restricted endowments, permanent endowments, or quasi-endowments? If 'Yes,' complete Schedule D, Part V . . . . .		X
11 If the organization's answer to any of the following questions is 'Yes,' then complete Schedule D, Parts VI, VII, VIII, IX, or X as applicable		
a Did the organization report an amount for land, buildings, and equipment in Part X, line 10? If 'Yes,' complete Schedule D, Part VI . . . . .	X	
b Did the organization report an amount for investments — other securities in Part X, line 12 that is 5% or more of its total assets reported in Part X, line 16? If 'Yes,' complete Schedule D, Part VII . . . . .		X
c Did the organization report an amount for investments — program related in Part X, line 13 that is 5% or more of its total assets reported in Part X, line 16? If 'Yes,' complete Schedule D, Part VIII . . . . .		X
d Did the organization report an amount for other assets in Part X, line 15 that is 5% or more of its total assets reported in Part X, line 16? If 'Yes,' complete Schedule D, Part IX . . . . .		X
e Did the organization report an amount for other liabilities in Part X, line 25? If 'Yes,' complete Schedule D, Part X . . . . .		X
f Did the organization's separate or consolidated financial statements for the tax year include a footnote that addresses the organization's liability for uncertain tax positions under FIN 48 (ASC 740)? If 'Yes,' complete Schedule D, Part X . . . . .		X
12a Did the organization obtain separate, independent audited financial statements for the tax year? If 'Yes,' complete Schedule D, Parts XI and XII . . . . .	X	
b Was the organization included in consolidated, independent audited financial statements for the tax year? If 'Yes,' and if the organization answered 'No' to line 12a, then completing Schedule D, Parts XI and XII is optional . . . . .		X
13 Is the organization a school described in section 170(b)(1)(A)(ii)? If 'Yes,' complete Schedule E . . . . .		X
14a Did the organization maintain an office, employees, or agents outside of the United States? . . . . .		X
b Did the organization have aggregate revenues or expenses of more than \$10,000 from grantmaking, fundraising, business, investment, and program service activities outside the United States, or aggregate foreign investments valued at \$100,000 or more? If 'Yes,' complete Schedule F, Parts I and IV . . . . .		X
15 Did the organization report on Part IX, column (A), line 3, more than \$5,000 of grants or other assistance to or for any foreign organization? If 'Yes,' complete Schedule F, Parts II and IV . . . . .		X
16 Did the organization report on Part IX, column (A), line 3, more than \$5,000 of aggregate grants or other assistance to or for foreign individuals? If 'Yes,' complete Schedule F, Parts III and IV . . . . .		X
17 Did the organization report a total of more than \$15,000 of expenses for professional fundraising services on Part IX, column (A), lines 6 and 11e? If 'Yes,' complete Schedule G, Part I (see instructions) . . . . .		X
18 Did the organization report more than \$15,000 total of fundraising event gross income and contributions on Part VIII, lines 1c and 8a? If 'Yes,' complete Schedule G, Part II . . . . .		X
19 Did the organization report more than \$15,000 of gross income from gaming activities on Part VIII, line 9a? If 'Yes,' complete Schedule G, Part III . . . . .		X

**Part IV Checklist of Required Schedules (continued)**

	Yes	No
<b>20a</b> Did the organization operate one or more hospital facilities? If 'Yes,' complete Schedule H . . . . .	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<b>b</b> If 'Yes' to line 20a, did the organization attach a copy of its audited financial statements to this return? . . . . .	<input type="checkbox"/>	<input type="checkbox"/>
<b>21</b> Did the organization report more than \$5,000 of grants or other assistance to any domestic organization or domestic government on Part IX, column (A), line 1? If 'Yes,' complete Schedule I, Parts I and II . . . . .	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<b>22</b> Did the organization report more than \$5,000 of grants or other assistance to or for domestic individuals on Part IX, column (A), line 2? If 'Yes,' complete Schedule I, Parts I and III . . . . .	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<b>23</b> Did the organization answer 'Yes' to Part VII, Section A, line 3, 4, or 5 about compensation of the organization's current and former officers, directors, trustees, key employees, and highest compensated employees? If 'Yes,' complete Schedule J . . . . .	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<b>24a</b> Did the organization have a tax-exempt bond issue with an outstanding principal amount of more than \$100,000 as of the last day of the year, that was issued after December 31, 2002? If 'Yes,' answer lines 24b through 24d and complete Schedule K. If 'No,' go to line 25a. . . . .	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<b>b</b> Did the organization invest any proceeds of tax-exempt bonds beyond a temporary period exception? . . . . .	<input type="checkbox"/>	<input type="checkbox"/>
<b>c</b> Did the organization maintain an escrow account other than a refunding escrow at any time during the year to defease any tax-exempt bonds? . . . . .	<input type="checkbox"/>	<input type="checkbox"/>
<b>d</b> Did the organization act as an 'on behalf of' issuer for bonds outstanding at any time during the year? . . . . .	<input type="checkbox"/>	<input type="checkbox"/>
<b>25a</b> <b>Section 501(c)(3), 501(c)(4), and 501(c)(29) organizations.</b> Did the organization engage in an excess benefit transaction with a disqualified person during the year? If 'Yes,' complete Schedule L, Part I . . . . .	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<b>b</b> Is the organization aware that it engaged in an excess benefit transaction with a disqualified person in a prior year, and that the transaction has not been reported on any of the organization's prior Forms 990 or 990-EZ? If 'Yes,' complete Schedule L, Part I . . . . .	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<b>26</b> Did the organization report any amount on Part X, line 5, 6, or 22 for receivables from or payables to any current or former officers, directors, trustees, key employees, highest compensated employees, or disqualified persons? If 'Yes,' complete Schedule L, Part II . . . . .	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<b>27</b> Did the organization provide a grant or other assistance to an officer, director, trustee, key employee, substantial contributor or employee thereof, a grant selection committee member, or to a 35% controlled entity or family member of any of these persons? If 'Yes,' complete Schedule L, Part III . . . . .	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<b>28</b> Was the organization a party to a business transaction with one of the following parties (see Schedule L, Part IV instructions for applicable filing thresholds, conditions, and exceptions)	<input type="checkbox"/>	<input type="checkbox"/>
<b>a</b> A current or former officer, director, trustee, or key employee? If 'Yes,' complete Schedule L, Part IV . . . . .	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<b>b</b> A family member of a current or former officer, director, trustee, or key employee? If 'Yes,' complete Schedule L, Part IV . . . . .	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<b>c</b> An entity of which a current or former officer, director, trustee, or key employee (or a family member thereof) was an officer, director, trustee, or direct or indirect owner? If 'Yes,' complete Schedule L, Part IV . . . . .	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<b>29</b> Did the organization receive more than \$25,000 in non-cash contributions? If 'Yes,' complete Schedule M . . . . .	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<b>30</b> Did the organization receive contributions of art, historical treasures, or other similar assets, or qualified conservation contributions? If 'Yes,' complete Schedule M . . . . .	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<b>31</b> Did the organization liquidate, terminate, or dissolve and cease operations? If 'Yes,' complete Schedule N, Part I . . . . .	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<b>32</b> Did the organization sell, exchange, dispose of, or transfer more than 25% of its net assets? If 'Yes,' complete Schedule N, Part II . . . . .	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<b>33</b> Did the organization own 100% of an entity disregarded as separate from the organization under Regulations sections 301.7701-2 and 301.7701-3? If 'Yes,' complete Schedule R, Part I . . . . .	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<b>34</b> Was the organization related to any tax-exempt or taxable entity? If 'Yes,' complete Schedule R, Part II, III, or IV, and Part V, line 1 . . . . .	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<b>35a</b> Did the organization have a controlled entity within the meaning of section 512(b)(13)? . . . . .	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<b>b</b> If 'Yes' to line 35a, did the organization receive any payment from or engage in any transaction with a controlled entity within the meaning of section 512(b)(13)? If 'Yes,' complete Schedule R, Part V, line 2 . . . . .	<input type="checkbox"/>	<input type="checkbox"/>
<b>36</b> <b>Section 501(c)(3) organizations.</b> Did the organization make any transfers to an exempt non-charitable related organization? If 'Yes,' complete Schedule R, Part V, line 2 . . . . .	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<b>37</b> Did the organization conduct more than 5% of its activities through an entity that is not a related organization and that is treated as a partnership for federal income tax purposes? If 'Yes,' complete Schedule R, Part VI . . . . .	<input type="checkbox"/>	<input checked="" type="checkbox"/>
<b>38</b> Did the organization complete Schedule O and provide explanations in Schedule O for Part VI, lines 11b and 19? <b>Note.</b> All Form 990 filers are required to complete Schedule O . . . . .	<input checked="" type="checkbox"/>	<input type="checkbox"/>

BAA

Form 990 (2016)

**Part V** Statements Regarding Other IRS Filings and Tax ComplianceCheck if Schedule O contains a response or note to any line in this Part V. ☐

		Yes	No
1 a Enter the number reported in Box 3 of Form 1096. Enter -0- if not applicable.	1 a 8		
b Enter the number of Forms W-2G included in line 1a. Enter -0- if not applicable.	1 b 0		
c Did the organization comply with backup withholding rules for reportable payments to vendors and reportable gaming (gambling) winnings to prize winners?	1 c		
2 a Enter the number of employees reported on Form W-3, Transmittal of Wage and Tax Statements, filed for the calendar year ending with or within the year covered by this return.	2 a 39		
b If at least one is reported on line 2a, did the organization file all required federal employment tax returns?	2 b	X	
Note. If the sum of lines 1a and 2a is greater than 250, you may be required to e-file (see instructions).			
3 a Did the organization have unrelated business gross income of \$1,000 or more during the year?	3 a		X
b If 'Yes,' has it filed a Form 990-T for this year? If 'No' to line 3b, provide an explanation in Schedule O.	3 b		
4 a At any time during the calendar year, did the organization have an interest in, or a signature or other authority over, a financial account in a foreign country (such as a bank account, securities account, or other financial account)?	4 a		X
b If 'Yes,' enter the name of the foreign country: See instructions for filing requirements for FinCEN Form 114, Report of Foreign Bank and Financial Accounts (FBAR)			
5 a Was the organization a party to a prohibited tax shelter transaction at any time during the tax year?	5 a		X
b Did any taxable party notify the organization that it was or is a party to a prohibited tax shelter transaction?	5 b		X
c If 'Yes,' to line 5a or 5b, did the organization file Form 8886-T?	5 c		
6 a Does the organization have annual gross receipts that are normally greater than \$100,000, and did the organization solicit any contributions that were not tax deductible as charitable contributions?	6 a		X
b If 'Yes,' did the organization include with every solicitation an express statement that such contributions or gifts were not tax deductible?	6 b		
7 Organizations that may receive deductible contributions under section 170(c).			
a Did the organization receive a payment in excess of \$75 made partly as a contribution and partly for goods and services provided to the payor?	7 a		X
b If 'Yes,' did the organization notify the donor of the value of the goods or services provided?	7 b		
c Did the organization sell, exchange, or otherwise dispose of tangible personal property for which it was required to file Form 8822?	7 c		X
d If 'Yes,' indicate the number of Forms 8822 filed during the year.	7 d		
e Did the organization receive any funds, directly or indirectly, to pay premiums on a personal benefit contract?	7 e		X
f Did the organization, during the year, pay premiums, directly or indirectly, on a personal benefit contract?	7 f		X
g If the organization received a contribution of qualified intellectual property, did the organization file Form 8899 as required?	7 g		
h If the organization received a contribution of cars, boats, airplanes, or other vehicles, did the organization file a Form 1098-C?	7 h		
8 Sponsoring organizations maintaining donor advised funds. Did a donor advised fund maintained by the sponsoring organization have excess business holdings at any time during the year?	8		
9 Sponsoring organizations maintaining donor advised funds.			
a Did the sponsoring organization make any taxable distributions under section 4966?	9 a		
b Did the sponsoring organization make a distribution to a donor, donor advisor, or related person?	9 b		
10 Section 501(c)(7) organizations. Enter			
a Initiation fees and capital contributions included on Part VIII, line 12.	10 a		
b Gross receipts, included on Form 990, Part VIII, line 12, for public use of club facilities.	10 b		
11 Section 501(c)(12) organizations. Enter			
a Gross income from members or shareholders.	11 a		
b Gross income from other sources (Do not net amounts due or paid to other sources against amounts due or received from them).	11 b		
12a Section 4947(a)(1) non-exempt charitable trusts. Is the organization filing Form 990 in lieu of Form 1041?	12 a		
b If 'Yes,' enter the amount of tax-exempt interest received or accrued during the year.	12 b		
13 Section 501(c)(29) qualified nonprofit health insurance issuers.			
a Is the organization licensed to issue qualified health plans in more than one state?	13 a		
Note. See the instructions for additional information the organization must report on Schedule O.			
b Enter the amount of reserves the organization is required to maintain by the states in which the organization is licensed to issue qualified health plans.	13 b		
c Enter the amount of reserves on hand.	13 c		
14a Did the organization receive any payments for indoor tanning services during the tax year?	14 a		X
b If 'Yes,' has it filed a Form 720 to report these payments? If 'No,' provide an explanation in Schedule O.	14 b		



**Part VII Governance, Management, and Disclosure** For each 'Yes' response to lines 2 through 7b below, and for a 'No' response to line 8a, 8b, or 10b below, describe the circumstances, processes, or changes in Schedule O. See instructions.

Check if Schedule O contains a response or note to any line in this Part VI. ☒ **X**

**Section A. Governing Body and Management**

	Yes	No
<b>1 a</b> Enter the number of voting members of the governing body at the end of the tax year. . . . . <b>1 a</b> 5		
If there are material differences in voting rights among members of the governing body, or if the governing body delegated broad authority to an executive committee or similar committee, explain in Schedule O		
<b>b</b> Enter the number of voting members included in line 1a, above, who are independent . . . . . <b>1 b</b> 5		
<b>2</b> Did any officer, director, trustee, or key employee have a family relationship or a business relationship with any other officer, director, trustee, or key employee? . . . . . <b>2</b>		X
<b>3</b> Did the organization delegate control over management duties customarily performed by or under the direct supervision of officers, directors, or trustees, or key employees to a management company or other person? . . . . . <b>3</b>		X
<b>4</b> Did the organization make any significant changes to its governing documents since the prior Form 990 was filed? . . . . . <b>4</b>		X
<b>5</b> Did the organization become aware during the year of a significant diversion of the organization's assets? . . . . . <b>5</b>		X
<b>6</b> Did the organization have members or stockholders? . . . . . <b>6</b>		X
<b>7 a</b> Did the organization have members, stockholders, or other persons who had the power to elect or appoint one or more members of the governing body? . . . . . <b>7 a</b>		X
<b>b</b> Are any governance decisions of the organization reserved to (or subject to approval by) members, stockholders, or persons other than the governing body? . . . . . <b>7 b</b>		X
<b>8</b> Did the organization contemporaneously document the meetings held or written actions undertaken during the year by the following:		
<b>a</b> The governing body? . . . . . <b>8 a</b>	X	
<b>b</b> Each committee with authority to act on behalf of the governing body? . . . . . <b>8 b</b>	X	
<b>9</b> Is there any officer, director, trustee, or key employee listed in Part VII, Section A, who cannot be reached at the organization's mailing address? If 'Yes,' provide the names and addresses in Schedule O . . . . . <b>9</b>		X

**Section B. Policies** (This Section B requests information about policies not required by the Internal Revenue Code.)

	Yes	No
<b>10 a</b> Did the organization have local chapters, branches, or affiliates? . . . . . <b>10 a</b>		X
<b>b</b> If 'Yes,' did the organization have written policies and procedures governing the activities of such chapters, affiliates, and branches to ensure their operations are consistent with the organization's exempt purposes? . . . . . <b>10 b</b>		
<b>11 a</b> Has the organization provided a complete copy of this Form 990 to all members of its governing body before filing the form? . . . . . <b>11 a</b>	X	
<b>b</b> Describe in Schedule O the process, if any, used by the organization to review this Form 990		
<b>12 a</b> Did the organization have a written conflict of interest policy? If 'No,' go to line 13. . . . . <b>12 a</b>	X	
<b>b</b> Were officers, directors, or trustees, and key employees required to disclose annually interests that could give rise to conflicts? . . . . . <b>12 b</b>	X	
<b>c</b> Did the organization regularly and consistently monitor and enforce compliance with the policy? If 'Yes,' describe in Schedule O how this was done . . . . . <b>12 c</b>	X	
<b>13</b> Did the organization have a written whistleblower policy? . . . . . <b>13</b>	X	
<b>14</b> Did the organization have a written document retention and destruction policy? . . . . . <b>14</b>	X	
<b>15</b> Did the process for determining compensation of the following persons include a review and approval by independent persons, comparability data, and contemporaneous substantiation of the deliberation and decision?		
<b>a</b> The organization's CEO, Executive Director, or top management official . . . . . <b>15 a</b>		X
<b>b</b> Other officers or key employees of the organization. . . . . <b>15 b</b>		X
If 'Yes' to line 15a or 15b, describe the process in Schedule O (see instructions)		
<b>16 a</b> Did the organization invest in, contribute assets to, or participate in a joint venture or similar arrangement with a taxable entity during the year? . . . . . <b>16 a</b>		X
<b>b</b> If 'Yes,' did the organization follow a written policy or procedure requiring the organization to evaluate its participation in joint venture arrangements under applicable federal tax law, and take steps to safeguard the organization's exempt status with respect to such arrangements? . . . . . <b>16 b</b>		

**Section C. Disclosure**

**17** List the states with which a copy of this Form 990 is required to be filed ▶

**18** Section 6104 requires an organization to make its Forms 1023 (or 1024 if applicable), 990, and 990-T (Section 501(c)(3)s only) available for public inspection. Indicate how you made these available. Check all that apply.

☒ Own website ☐ Another's website ☐ Upon request ☐ Other (explain in Schedule O)

**19** Describe in Schedule O whether (and if so, how) the organization made its governing documents, conflict of interest policy, and financial statements available to the public during the tax year

**20** State the name, address, and telephone number of the person who possesses the organization's books and records ▶

Jill Ramirez P.O. Box 1271 Austin TX 78767 (512) 484-1507

**Part VII Compensation of Officers, Directors, Trustees, Key Employees, Highest Compensated Employees, and Independent Contractors**Check if Schedule O contains a response or note to any line in this Part VII ☐**Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees****1 a** Complete this table for all persons required to be listed. Report compensation for the calendar year ending with or within the organization's tax year.

- List all of the organization's **current** officers, directors, trustees (whether individuals or organizations), regardless of amount of compensation. Enter -0- in columns (D), (E), and (F) if no compensation was paid.

- List all of the organization's **current** key employees, if any. See instructions for definition of 'key employee.'

- List the organization's five **current** highest compensated employees (other than an officer, director, trustee, or key employee) who received reportable compensation (Box 5 of Form W-2 and/or Box 7 of Form 1099-MISC) of more than \$100,000 from the organization and any related organizations.

- List all of the organization's **former** officers, key employees, and highest compensated employees who received more than \$100,000 of reportable compensation from the organization and any related organizations.

- List all of the organization's **former** directors or trustees that received, in the capacity as a former director or trustee of the organization, more than \$10,000 of reportable compensation from the organization and any related organizations.

List persons in the following order: individual trustees or directors; institutional trustees; officers; key employees; highest compensated employees; and former such persons.

☐ Check this box if neither the organization nor any related organization compensated any current officer, director, or trustee

(A) Name and Title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional trustee	Officer	Key employee	Highest compensated employee	Former			
(1) Jose Orta Secretary	5.00	X		X				0.	0.	0.
(2) Raul Castaneda Chair	5.00	X		X				0.	0.	0.
(3) David Morales Vice Chair	5.00	X		X				0.	0.	0.
(4) Gloria Perez-Stewart Board Member	5.00	X						0.	0.	0.
(5) Juan Duran Board Member	5.00	X						0.	0.	0.
(6)										
(7)										
(8)										
(9)										
(10)										
(11)										
(12)										
(13)										
(14)										

**Part VI Section A. Officers, Directors, Trustees, Key Employees, and Highest Compensated Employees** (continued)

(A) Name and title	(B) Average hours per week (list any hours for related organizations below dotted line)	(C) Position (do not check more than one box, unless person is both an officer and a director/trustee)						(D) Reportable compensation from the organization (W-2/1099-MISC)	(E) Reportable compensation from related organizations (W-2/1099-MISC)	(F) Estimated amount of other compensation from the organization and related organizations
		Individual trustee or director	Institutional trustee	Officer	Key employee	Highest compensated employee	Former			
(15) -----	-----									
(16) -----	-----									
(17) -----	-----									
(18) -----	-----									
(19) -----	-----									
(20) -----	-----									
(21) -----	-----									
(22) -----	-----									
(23) -----	-----									
(24) -----	-----									
(25) -----	-----									
<b>1 b Sub-total.</b> . . . . .								0.	0.	0.
<b>c Total from continuation sheets to Part VII, Section A</b> . . . . .										
<b>d Total (add lines 1b and 1c)</b> . . . . .								0.	0.	0.

**2** Total number of individuals (including but not limited to those listed above) who received more than \$100,000 of reportable compensation from the organization ▶

**3** Did the organization list any former officer, director, or trustee, key employee, or highest compensated employee on line 1a? If 'Yes,' complete Schedule J for such individual . . . . .

	Yes	No
<b>3</b>		X

**4** For any individual listed on line 1a, is the sum of reportable compensation and other compensation from the organization and related organizations greater than \$150,000? If 'Yes,' complete Schedule J for such individual . . . . .

	Yes	No
<b>4</b>		X

**5** Did any person listed on line 1a receive or accrue compensation from any unrelated organization or individual for services rendered to the organization? If 'Yes,' complete Schedule J for such person . . . . .

	Yes	No
<b>5</b>		X

**Section B. Independent Contractors**

**1** Complete this table for your five highest compensated independent contractors that received more than \$100,000 of compensation from the organization. Report compensation for the calendar year ending with or within the organization's tax year

(A) Name and business address	(B) Description of services	(C) Compensation

**2** Total number of independent contractors (including but not limited to those listed above) who received more than \$100,000 of compensation from the organization ▶

--

**Part VIII Statement of Revenue**Check if Schedule O contains a response or note to any line in this Part VIII ☐

			(A) Total revenue	(B) Related or exempt function revenue	(C) Unrelated business revenue	(D) Revenue excluded from tax under sections 512-514
<b>Contributions, Gifts, Grants and Other Similar Amounts</b>	<b>1 a</b> Federated campaigns . . . . .	<b>1 a</b>				
	<b>b</b> Membership dues . . . . .	<b>1 b</b>				
	<b>c</b> Fundraising events . . . . .	<b>1 c</b>				
	<b>d</b> Related organizations . . . . .	<b>1 d</b>				
	<b>e</b> Government grants (contributions) . .	<b>1 e</b>				
	<b>f</b> All other contributions, gifts, grants, and similar amounts not included above . .	<b>1 f</b> 598,510.				
	<b>g</b> Noncash contributions included in lines 1a-1f \$					
<b>h</b> Total. Add lines 1a-1f . . . . .		598,510.				
<b>Program Service Revenue</b>	<b>Business Code</b>					
	<b>2 a</b> . . . . .					
	<b>b</b> . . . . .					
	<b>c</b> . . . . .					
	<b>d</b> . . . . .					
	<b>e</b> . . . . .					
	<b>f</b> All other program service revenue . .					
<b>g</b> Total. Add lines 2a-2f . . . . .						
<b>Other Revenue</b>	<b>3</b> Investment income (including dividends, interest and other similar amounts) . . . . .					
	<b>4</b> Income from investment of tax-exempt bond proceeds . .					
	<b>5</b> Royalties . . . . .					
		(i) Real (ii) Personal				
	<b>6 a</b> Gross rents . . . . .					
	<b>b</b> Less: rental expenses . . . . .					
	<b>c</b> Rental income or (loss) . . . . .					
	<b>d</b> Net rental income or (loss) . . . . .					
	<b>7 a</b> Gross amount from sales of assets other than inventory . . . . .	(i) Securities (ii) Other				
	<b>b</b> Less: cost or other basis and sales expenses . . . . .					
	<b>c</b> Gain or (loss) . . . . .					
	<b>d</b> Net gain or (loss) . . . . .					
	<b>8 a</b> Gross income from fundraising events (not including: \$ _____ of contributions reported on line 1c) See Part IV, line 18. . . . .	<b>a</b>				
	<b>b</b> Less: direct expenses . . . . .	<b>b</b>				
	<b>c</b> Net income or (loss) from fundraising events . . . . .					
	<b>9 a</b> Gross income from gaming activities See Part IV, line 19. . . . .	<b>a</b>				
	<b>b</b> Less: direct expenses . . . . .	<b>b</b>				
<b>c</b> Net income or (loss) from gaming activities . . . . .						
<b>10 a</b> Gross sales of inventory, less returns and allowances . . . . .	<b>a</b>					
<b>b</b> Less: cost of goods sold . . . . .	<b>b</b>					
<b>c</b> Net income or (loss) from sales of inventory . . . . .						
<b>Miscellaneous Revenue</b>		<b>Business Code</b>				
<b>11 a</b> Other Revenue . . . . .	910009	4,261.	0.	0.	4,261.	
<b>b</b> . . . . .						
<b>c</b> . . . . .						
<b>d</b> All other revenue . . . . .						
<b>e</b> Total. Add lines 11a-11d . . . . .		4,261.				
<b>12</b> Total revenue. See instructions . . . . .		602,771.	0.	0.	4,261.	

**Part IX Statement of Functional Expenses**

Section 501(c)(3) and 501(c)(4) organizations must complete all columns. All other organizations must complete column (A).

Check if Schedule O contains a response or note to any line in this Part IX. ☐

Do not include amounts reported on lines 6b, 7b, 8b, 9b, and 10b of Part VIII.	(A) Total expenses	(B) Program service expenses	(C) Management and general expenses	(D) Fundraising expenses
1 Grants and other assistance to domestic organizations and domestic governments See Part IV, line 21. . . . .				
2 Grants and other assistance to domestic individuals See Part IV, line 22. . . . .				
3 Grants and other assistance to foreign organizations, foreign governments, and foreign individuals See Part IV, lines 15 and 16. . . . .				
4 Benefits paid to or for members. . . . .				
5 Compensation of current officers, directors, trustees, and key employees. . . . .				
6 Compensation not included above, to disqualified persons (as defined under section 4958(f)(1)) and persons described in section 4958(c)(3)(B). . . . .				
7 Other salaries and wages. . . . .	416,319.	345,545.	62,448.	8,326.
8 Pension plan accruals and contributions (include section 401(k) and 403(b) employer contributions). . . . .				
9 Other employee benefits. . . . .				
10 Payroll taxes. . . . .	36,787.	30,533.	5,518.	736.
11 Fees for services (non-employees)				
a Management. . . . .				
b Legal. . . . .				
c Accounting. . . . .	23,702.	0.	23,702.	0.
d Lobbying. . . . .				
e Professional fundraising services See Part IV, line 17. . . . .				
f Investment management fees. . . . .				
g Other (If line 11g amount exceeds 10% of line 25, column (A) amount, list line 11g expenses on Schedule O) . . . . .	105,174.	87,295.	15,776.	2,103.
12 Advertising and promotion. . . . .	9,138.	9,138.	0.	0.
13 Office expenses. . . . .	35,862.	29,766.	6,096.	0.
14 Information technology. . . . .	8,860.	7,354.	1,506.	0.
15 Royalties. . . . .				
16 Occupancy. . . . .	23,374.	19,400.	3,974.	0.
17 Travel. . . . .	5,564.	4,618.	946.	0.
18 Payments of travel or entertainment expenses for any federal, state, or local public officials. . . . .				
19 Conferences, conventions, and meetings. . . . .	8,999.	7,469.	1,530.	0.
20 Interest. . . . .				
21 Payments to affiliates. . . . .				
22 Depreciation, depletion, and amortization. . . . .				
23 Insurance. . . . .	4,382.	3,637.	745.	0.
24 Other expenses. Itemize expenses not covered above (List miscellaneous expenses in line 24e. If line 24e amount exceeds 10% of line 25, column (A) amount, list line 24e expenses on Schedule O) . . . . .				
a . . . . .				
b . . . . .				
c . . . . .				
d . . . . .				
e All other expenses. . . . .	9,187.	7,625.	1,562.	0.
25 Total functional expenses. Add lines 1 through 24e. . . . .	687,348.	552,380.	123,803.	11,165.
26 Joint costs. Complete this line only if the organization reported in column (B) joint costs from a combined educational campaign and fundraising solicitation. Check here <input type="checkbox"/> if following SOP 98-2 (ASC 958-720). . . . .				

**Part X Balance Sheet**Check if Schedule O contains a response or note to any line in this Part X. ☐

		(A) Beginning of year		(B) End of year
<b>Assets</b>	<b>1</b> Cash — non-interest-bearing . . . . .	47,532.	<b>1</b>	36,203.
	<b>2</b> Savings and temporary cash investments . . . . .		<b>2</b>	
	<b>3</b> Pledges and grants receivable, net . . . . .		<b>3</b>	72,656.
	<b>4</b> Accounts receivable, net . . . . .		<b>4</b>	
	<b>5</b> Loans and other receivables from current and former officers, directors, trustees, key employees, and highest compensated employees. Complete Part II of Schedule L . . . . .		<b>5</b>	
	<b>6</b> Loans and other receivables from other disqualified persons (as defined under section 4958(f)(1)), persons described in section 4958(c)(3)(B), and contributing employers and sponsoring organizations of section 501(c)(9) voluntary employees' beneficiary organizations (see instructions). Complete Part II of Schedule L . . . . .		<b>6</b>	
	<b>7</b> Notes and loans receivable, net . . . . .		<b>7</b>	
	<b>8</b> Inventories for sale or use . . . . .		<b>8</b>	
	<b>9</b> Prepaid expenses and deferred charges . . . . .		<b>9</b>	3,918.
	<b>10 a</b> Land, buildings, and equipment: cost or other basis. Complete Part VI of Schedule D . . . . .	<b>10 a</b> 1,971.		
	<b>b</b> Less accumulated depreciation . . . . .	<b>10 b</b>	<b>10 c</b>	1,971.
	<b>11</b> Investments — publicly traded securities . . . . .		<b>11</b>	
	<b>12</b> Investments — other securities. See Part IV, line 11 . . . . .		<b>12</b>	
	<b>13</b> Investments — program-related. See Part IV, line 11 . . . . .		<b>13</b>	
	<b>14</b> Intangible assets . . . . .		<b>14</b>	
<b>15</b> Other assets. See Part IV, line 11 . . . . .		<b>15</b>		
<b>16 Total assets.</b> Add lines 1 through 15 (must equal line 34) . . . . .	47,532.	<b>16</b>	114,748.	
<b>Liabilities</b>	<b>17</b> Accounts payable and accrued expenses . . . . .		<b>17</b>	27,086.
	<b>18</b> Grants payable . . . . .		<b>18</b>	
	<b>19</b> Deferred revenue . . . . .		<b>19</b>	34,138.
	<b>20</b> Tax-exempt bond liabilities . . . . .		<b>20</b>	
	<b>21</b> Escrow or custodial account liability. Complete Part IV of Schedule D . . . . .		<b>21</b>	
	<b>22</b> Loans and other payables to current and former officers, directors, trustees, key employees, highest compensated employees, and disqualified persons. Complete Part II of Schedule L . . . . .		<b>22</b>	
	<b>23</b> Secured mortgages and notes payable to unrelated third parties . . . . .		<b>23</b>	
	<b>24</b> Unsecured notes and loans payable to unrelated third parties . . . . .		<b>24</b>	30,000.
	<b>25</b> Other liabilities (including federal income tax, payables to related third parties, and other liabilities not included on lines 17-24). Complete Part X of Schedule D . . . . .		<b>25</b>	
	<b>26 Total liabilities.</b> Add lines 17 through 25 . . . . .	0.	<b>26</b>	91,224.
<b>Net Assets or Fund Balances</b>	<b>Organizations that follow SFAS 117 (ASC 958), check here</b> <input type="checkbox"/> <b>and complete lines 27 through 29, and lines 33 and 34.</b>			
	<b>27</b> Unrestricted net assets . . . . .		<b>27</b>	
	<b>28</b> Temporarily restricted net assets . . . . .		<b>28</b>	
	<b>29</b> Permanently restricted net assets . . . . .		<b>29</b>	
	<b>Organizations that do not follow SFAS 117 (ASC 958), check here</b> <input checked="" type="checkbox"/> <b>and complete lines 30 through 34.</b>			
	<b>30</b> Capital stock or trust principal, or current funds . . . . .		<b>30</b>	
	<b>31</b> Paid-in or capital surplus, or land, building, or equipment fund . . . . .		<b>31</b>	
	<b>32</b> Retained earnings, endowment, accumulated income, or other funds . . . . .	47,532.	<b>32</b>	23,524.
	<b>33</b> Total net assets or fund balances . . . . .	47,532.	<b>33</b>	23,524.
<b>34</b> Total liabilities and net assets/fund balances . . . . .	47,532.	<b>34</b>	114,748.	

BAA

Form 990 (2016)

**Part XI Reconciliation of Net Assets**Check if Schedule O contains a response or note to any line in this Part XI. ☒

1	Total revenue (must equal Part VIII, column (A), line 12)	1	602,771.
2	Total expenses (must equal Part IX, column (A), line 25)	2	687,348.
3	Revenue less expenses Subtract line 2 from line 1	3	-84,577.
4	Net assets or fund balances at beginning of year (must equal Part X, line 33, column (A))	4	47,532.
5	Net unrealized gains (losses) on investments	5	
6	Donated services and use of facilities	6	
7	Investment expenses	7	
8	Prior period adjustments	8	
9	Other changes in net assets or fund balances (explain in Schedule O)	9	60,569.
10	Net assets or fund balances at end of year Combine lines 3 through 9 (must equal Part X, line 33, column (B))	10	23,524.

**Part XII Financial Statements and Reporting**Check if Schedule O contains a response or note to any line in this Part XII. ☐

	Yes	No
1 Accounting method used to prepare the Form 990 <input type="checkbox"/> Cash <input checked="" type="checkbox"/> Accrual <input type="checkbox"/> Other _____		
If the organization changed its method of accounting from a prior year or checked 'Other,' explain in Schedule O		
2 a Were the organization's financial statements compiled or reviewed by an independent accountant?	2 a	X
If 'Yes,' check a box below to indicate whether the financial statements for the year were compiled or reviewed on a separate basis, consolidated basis, or both <input type="checkbox"/> Separate basis <input type="checkbox"/> Consolidated basis <input type="checkbox"/> Both consolidated and separate basis		
b Were the organization's financial statements audited by an independent accountant?	2 b	X
If 'Yes,' check a box below to indicate whether the financial statements for the year were audited on a separate basis, consolidated basis, or both <input checked="" type="checkbox"/> Separate basis <input type="checkbox"/> Consolidated basis <input type="checkbox"/> Both consolidated and separate basis		
c If 'Yes' to line 2a or 2b, does the organization have a committee that assumes responsibility for oversight of the audit, review, or compilation of its financial statements and selection of an independent accountant?	2 c	X
If the organization changed either its oversight process or selection process during the tax year, explain in Schedule O		
3 a As a result of a federal award, was the organization required to undergo an audit or audits as set forth in the Single Audit Act and OMB Circular A-133?	3 a	X
b If 'Yes,' did the organization undergo the required audit or audits? If the organization did not undergo the required audit or audits, explain why in Schedule O and describe any steps taken to undergo such audits	3 b	

BAA

Form 990 (2016)



**SCHEDULE A**  
**(Form 990 or 990-EZ)**

Department of the Treasury  
Internal Revenue Service

**Public Charity Status and Public Support**

Complete if the organization is a section 501(c)(3) organization or a section 4947(a)(1) nonexempt charitable trust.

► Attach to Form 990 or Form 990-EZ.

► Information about Schedule A (Form 990 or 990-EZ) and its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990).

OMB No 1545-0047

**2016**

**Open to Public  
Inspection**

Name of the organization

Latino HealthCare Forum

Employer identification number

46-1170748

**Part I Reason for Public Charity Status** (All organizations must complete this part.) See instructions.

The organization is not a private foundation because it is (For lines 1 through 12, check only one box.)

- 1 ☐ A church, convention of churches, or association of churches described in section 170(b)(1)(A)(i).
- 2 ☐ A school described in section 170(b)(1)(A)(ii). (Attach Schedule E (Form 990 or 990-EZ) )
- 3 ☐ A hospital or a cooperative hospital service organization described in section 170(b)(1)(A)(iii).
- 4 ☐ A medical research organization operated in conjunction with a hospital described in section 170(b)(1)(A)(iii) Enter the hospital's name, city, and state \_\_\_\_\_
- 5 ☐ An organization operated for the benefit of a college or university owned or operated by a governmental unit described in section 170(b)(1)(A)(iv). (Complete Part II )
- 6 ☐ A federal, state, or local government or governmental unit described in section 170(b)(1)(A)(v).
- 7 ☒ An organization that normally receives a substantial part of its support from a governmental unit or from the general public described in section 170(b)(1)(A)(vi). (Complete Part II )
- 8 ☐ A community trust described in section 170(b)(1)(A)(vi). (Complete Part II )
- 9 ☐ An agricultural research organization described in section 170(b)(1)(A)(ix) operated in conjunction with a land-grant college or university or a non-land-grant college of agriculture (see instructions) Enter the name, city, and state of the college or university \_\_\_\_\_
- 10 ☐ An organization that normally receives (1) more than 33-1/3% of its support from contributions, membership fees, and gross receipts from activities related to its exempt functions—subject to certain exceptions, and (2) no more than 33-1/3% of its support from gross investment income and unrelated business taxable income (less section 511 tax) from businesses acquired by the organization after June 30, 1975 See section 509(a)(2). (Complete Part III )
- 11 ☐ An organization organized and operated exclusively to test for public safety See section 509(a)(4).
- 12 ☐ An organization organized and operated exclusively for the benefit of, to perform the functions of, or to carry out the purposes of one or more publicly supported organizations described in section 509(a)(1) or section 509(a)(2). See section 509(a)(3). Check the box in lines 12a through 12d that describes the type of supporting organization and complete lines 12e, 12f, and 12g
- a ☐ **Type I.** A supporting organization operated, supervised, or controlled by its supported organization(s), typically by giving the supported organization(s) the power to regularly appoint or elect a majority of the directors or trustees of the supporting organization You must complete Part IV, Sections A and B.
- b ☐ **Type II.** A supporting organization supervised or controlled in connection with its supported organization(s), by having control or management of the supporting organization vested in the same persons that control or manage the supported organization(s) You must complete Part IV, Sections A and C.
- c ☐ **Type III functionally integrated.** A supporting organization operated in connection with, and functionally integrated with, its supported organization(s) (see instructions) You must complete Part IV, Sections A, D, and E.
- d ☐ **Type III non-functionally integrated.** A supporting organization operated in connection with its supported organization(s) that is not functionally integrated The organization generally must satisfy a distribution requirement and an attentiveness requirement (see instructions) You must complete Part IV, Sections A and D, and Part V.
- e ☐ Check this box if the organization received a written determination from the IRS that it is a Type I, Type II, Type III functionally integrated, or Type III non-functionally integrated supporting organization
- f Enter the number of supported organizations \_\_\_\_\_
- g Provide the following information about the supported organization(s)

(i) Name of supported organization	(ii) EIN	(iii) Type of organization (described on lines 1-10 above (see instructions))	(iv) Is the organization listed in your governing document?		(v) Amount of monetary support (see instructions)	(vi) Amount of other support (see instructions)
			Yes	No		
(A)						
(B)						
(C)						
(D)						
(E)						
<b>Total</b>						

**Part II Support Schedule for Organizations Described in Sections 170(b)(1)(A)(iv) and 170(b)(1)(A)(vi)**

(Complete only if you checked the box on line 5, 7, or 8 of Part I or if the organization failed to qualify under Part III. If the organization fails to qualify under the tests listed below, please complete Part III.)

**Section A. Public Support**

Calendar year (or fiscal year beginning in) ▶	(a) 2012	(b) 2013	(c) 2014	(d) 2015	(e) 2016	(f) Total
1 Gifts, grants, contributions, and membership fees received (Do not include any 'unusual grants') . . . . .	1,100.	332,015.	711,454.	993,108.	598,510.	2,636,187.
2 Tax revenues levied for the organization's benefit and either paid to or expended on its behalf . . . . .						
3 The value of services or facilities furnished by a governmental unit to the organization without charge. . . . .						
4 <b>Total.</b> Add lines 1 through 3 . . . . .	1,100.	332,015.	711,454.	993,108.	598,510.	2,636,187.
5 The portion of total contributions by each person (other than a governmental unit or publicly supported organization) included on line 1 that exceeds 2% of the amount shown on line 11, column (f) . . . . .						1,100,264.
6 <b>Public support.</b> Subtract line 5 from line 4 . . . . .						1,535,923.

**Section B. Total Support**

Calendar year (or fiscal year beginning in) ▶	(a) 2012	(b) 2013	(c) 2014	(d) 2015	(e) 2016	(f) Total
7 Amounts from line 4 . . . . .	1,100.	332,015.	711,454.	993,108.	598,510.	2,636,187.
8 Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources . . . . .						
9 Net income from unrelated business activities, whether or not the business is regularly carried on . . . . .						
10 Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI) . . . . .				6,045.	4,261.	10,306.
11 <b>Total support.</b> Add lines 7 through 10 . . . . .						2,646,493.
12 Gross receipts from related activities, etc. (see instructions). . . . .					12	
13 <b>First five years.</b> If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and <b>stop here</b> . . . . . ▶ <input checked="" type="checkbox"/>						

**Section C. Computation of Public Support Percentage**

14 Public support percentage for 2016 (line 6, column (f) divided by line 11, column (f)) . . . . .	14	%
15 Public support percentage from 2015 Schedule A, Part II, line 14 . . . . .	15	%
16a <b>33-1/3% support test—2016.</b> If the organization did not check the box on line 13, and line 14 is 33-1/3% or more, check this box and <b>stop here.</b> The organization qualifies as a publicly supported organization . . . . . ▶ <input type="checkbox"/>		
b <b>33-1/3% support test—2015.</b> If the organization did not check a box on line 13 or 16a, and line 15 is 33-1/3% or more, check this box and <b>stop here.</b> The organization qualifies as a publicly supported organization . . . . . ▶ <input type="checkbox"/>		
17a <b>10%-facts-and-circumstances test—2016.</b> If the organization did not check a box on line 13, 16a, or 16b, and line 14 is 10% or more, and if the organization meets the 'facts-and-circumstances' test, check this box and <b>stop here.</b> Explain in Part VI how the organization meets the 'facts-and-circumstances' test. The organization qualifies as a publicly supported organization . . . . . ▶ <input type="checkbox"/>		
b <b>10%-facts-and-circumstances test—2015.</b> If the organization did not check a box on line 13, 16a, 16b, or 17a, and line 15 is 10% or more, and if the organization meets the 'facts-and-circumstances' test, check this box and <b>stop here.</b> Explain in Part VI how the organization meets the 'facts-and-circumstances' test. The organization qualifies as a publicly supported organization . . . . . ▶ <input type="checkbox"/>		
18 <b>Private foundation.</b> If the organization did not check a box on line 13, 16a, 16b, 17a, or 17b, check this box and see instructions . . . . . ▶ <input type="checkbox"/>		

**Part III Support Schedule for Organizations Described in Section 509(a)(2)**

(Complete only if you checked the box on line 10 of Part I or if the organization failed to qualify under Part II. If the organization fails to qualify under the tests listed below, please complete Part II.)

**Section A. Public Support**

Calendar year (or fiscal year beginning in) ▶	(a) 2012	(b) 2013	(c) 2014	(d) 2015	(e) 2016	(f) Total
<b>1</b> Gifts, grants, contributions, and membership fees received. (Do not include any 'unusual grants'.)						
<b>2</b> Gross receipts from admissions, merchandise sold or services performed, or facilities furnished in any activity that is related to the organization's tax-exempt purpose						
<b>3</b> Gross receipts from activities that are not an unrelated trade or business under section 513						
<b>4</b> Tax revenues levied for the organization's benefit and either paid to or expended on its behalf						
<b>5</b> The value of services or facilities furnished by a governmental unit to the organization without charge						
<b>6 Total.</b> Add lines 1 through 5						
<b>7a</b> Amounts included on lines 1, 2, and 3 received from disqualified persons						
<b>b</b> Amounts included on lines 2 and 3 received from other than disqualified persons that exceed the greater of \$5,000 or 1% of the amount on line 13 for the year						
<b>c</b> Add lines 7a and 7b						
<b>8 Public support.</b> (Subtract line 7c from line 6)						

**Section B. Total Support**

Calendar year (or fiscal year beginning in) ▶	(a) 2012	(b) 2013	(c) 2014	(d) 2015	(e) 2016	(f) Total
<b>9</b> Amounts from line 6						
<b>10a</b> Gross income from interest, dividends, payments received on securities loans, rents, royalties and income from similar sources						
<b>b</b> Unrelated business taxable income (less section 511 taxes) from businesses acquired after June 30, 1975						
<b>c</b> Add lines 10a and 10b						
<b>11</b> Net income from unrelated business activities not included in line 10b, whether or not the business is regularly carried on						
<b>12</b> Other income. Do not include gain or loss from the sale of capital assets (Explain in Part VI)						
<b>13 Total support.</b> (Add lines 9, 10c, 11, and 12)						
<b>14 First five years.</b> If the Form 990 is for the organization's first, second, third, fourth, or fifth tax year as a section 501(c)(3) organization, check this box and stop here. <input type="checkbox"/>						

**Section C. Computation of Public Support Percentage**

<b>15</b> Public support percentage for 2016 (line 8, column (f) divided by line 13, column (f))	<b>15</b>	%
<b>16</b> Public support percentage from 2015 Schedule A, Part III, line 15.	<b>16</b>	%

**Section D. Computation of Investment Income Percentage**

<b>17</b> Investment income percentage for 2016 (line 10c, column (f) divided by line 13, column (f))	<b>17</b>	%
<b>18</b> Investment income percentage from 2015 Schedule A, Part III, line 17	<b>18</b>	%
<b>19a 33-1/3% support tests—2016.</b> If the organization did not check the box on line 14, and line 15 is more than 33-1/3%, and line 17 is not more than 33-1/3%, check this box and stop here. The organization qualifies as a publicly supported organization <input type="checkbox"/>		
<b>b 33-1/3% support tests—2015.</b> If the organization did not check a box on line 14 or line 19a, and line 16 is more than 33-1/3%, and line 18 is not more than 33-1/3%, check this box and stop here. The organization qualifies as a publicly supported organization <input type="checkbox"/>		
<b>20 Private foundation.</b> If the organization did not check a box on line 14, 19a, or 19b, check this box and see instructions. <input type="checkbox"/>		

**Part IV Supporting Organizations**

(Complete only if you checked a box in line 12 on Part I. If you checked 12a of Part I, complete Sections A and B. If you checked 12b of Part I, complete Sections A and C. If you checked 12c of Part I, complete Sections A, D, and E. If you checked 12d of Part I, complete Sections A and D, and complete Part V.)

**Section A. All Supporting Organizations**

	Yes	No
1 Are all of the organization's supported organizations listed by name in the organization's governing documents? If 'No,' describe in Part VI how the supported organizations are designated. If designated by class or purpose, describe the designation. If historic and continuing relationship, explain.		
2 Did the organization have any supported organization that does not have an IRS determination of status under section 509(a)(1) or (2)? If 'Yes,' explain in Part VI how the organization determined that the supported organization was described in section 509(a)(1) or (2).		
3a Did the organization have a supported organization described in section 501(c)(4), (5), or (6)? If 'Yes,' answer (b) and (c) below.		
b Did the organization confirm that each supported organization qualified under section 501(c)(4), (5), or (6) and satisfied the public support tests under section 509(a)(2)? If 'Yes,' describe in Part VI when and how the organization made the determination.		
c Did the organization ensure that all support to such organizations was used exclusively for section 170(c)(2)(B) purposes? If 'Yes,' explain in Part VI what controls the organization put in place to ensure such use.		
4a Was any supported organization not organized in the United States ('foreign supported organization')? If 'Yes' and if you checked 12a or 12b in Part I, answer (b) and (c) below.		
b Did the organization have ultimate control and discretion in deciding whether to make grants to the foreign supported organization? If 'Yes,' describe in Part VI how the organization had such control and discretion despite being controlled or supervised by or in connection with its supported organizations.		
c Did the organization support any foreign supported organization that does not have an IRS determination under sections 501(c)(3) and 509(a)(1) or (2)? If 'Yes,' explain in Part VI what controls the organization used to ensure that all support to the foreign supported organization was used exclusively for section 170(c)(2)(B) purposes.		
5a Did the organization add, substitute, or remove any supported organizations during the tax year? If 'Yes,' answer (b) and (c) below (if applicable). Also, provide detail in Part VI, including (i) the names and EIN numbers of the supported organizations added, substituted, or removed, (ii) the reasons for each such action, (iii) the authority under the organization's organizing document authorizing such action, and (iv) how the action was accomplished (such as by amendment to the organizing document).		
b Type I or Type II only. Was any added or substituted supported organization part of a class already designated in the organization's organizing document?		
c Substitutions only. Was the substitution the result of an event beyond the organization's control?		
6 Did the organization provide support (whether in the form of grants or the provision of services or facilities) to anyone other than (i) its supported organizations, (ii) individuals that are part of the charitable class benefited by one or more of its supported organizations, or (iii) other supporting organizations that also support or benefit one or more of the filing organization's supported organizations? If 'Yes,' provide detail in Part VI.		
7 Did the organization provide a grant, loan, compensation, or other similar payment to a substantial contributor (defined in section 4958(c)(3)(C)), a family member of a substantial contributor, or a 35% controlled entity with regard to a substantial contributor? If 'Yes,' complete Part I of Schedule L (Form 990 or 990-EZ).		
8 Did the organization make a loan to a disqualified person (as defined in section 4958) not described in line 7? If 'Yes,' complete Part I of Schedule L (Form 990 or 990-EZ).		
9a Was the organization controlled directly or indirectly at any time during the tax year by one or more disqualified persons as defined in section 4946 (other than foundation managers and organizations described in section 509(a)(1) or (2))? If 'Yes,' provide detail in Part VI.		
b Did one or more disqualified persons (as defined in line 9a) hold a controlling interest in any entity in which the supporting organization had an interest? If 'Yes,' provide detail in Part VI.		
c Did a disqualified person (as defined in line 9a) have an ownership interest in, or derive any personal benefit from, assets in which the supporting organization also had an interest? If 'Yes,' provide detail in Part VI.		
10a Was the organization subject to the excess business holdings rules of section 4943 because of section 4943(f) (regarding certain Type II supporting organizations, and all Type III non-functionally integrated supporting organizations)? If 'Yes,' answer 10b below.		
b Did the organization have any excess business holdings in the tax year? (Use Schedule C, Form 4720, to determine whether the organization had excess business holdings.)		

**Part IV Supporting Organizations (continued)**

	Yes	No
<b>11</b> Has the organization accepted a gift or contribution from any of the following persons?		
<b>a</b> A person who directly or indirectly controls, either alone or together with persons described in (b) and (c) below, the governing body of a supported organization?		
<b>11a</b>		
<b>b</b> A family member of a person described in (a) above?		
<b>11b</b>		
<b>c</b> A 35% controlled entity of a person described in (a) or (b) above? If 'Yes' to a, b, or c, provide detail in Part VI.		
<b>11c</b>		

**Section B. Type I Supporting Organizations**

	Yes	No
<b>1</b> Did the directors, trustees, or membership of one or more supported organizations have the power to regularly appoint or elect at least a majority of the organization's directors or trustees at all times during the tax year? If 'No,' describe in Part VI how the supported organization(s) effectively operated, supervised, or controlled the organization's activities. If the organization had more than one supported organization, describe how the powers to appoint and/or remove directors or trustees were allocated among the supported organizations and what conditions or restrictions, if any, applied to such powers during the tax year.		
<b>1</b>		
<b>2</b> Did the organization operate for the benefit of any supported organization other than the supported organization(s) that operated, supervised, or controlled the supporting organization? If 'Yes,' explain in Part VI how providing such benefit carried out the purposes of the supported organization(s) that operated, supervised, or controlled the supporting organization.		
<b>2</b>		

**Section C. Type II Supporting Organizations**

	Yes	No
<b>1</b> Were a majority of the organization's directors or trustees during the tax year also a majority of the directors or trustees of each of the organization's supported organization(s)? If 'No,' describe in Part VI how control or management of the supporting organization was vested in the same persons that controlled or managed the supported organization(s).		
<b>1</b>		

**Section D. All Type III Supporting Organizations**

	Yes	No
<b>1</b> Did the organization provide to each of its supported organizations, by the last day of the fifth month of the organization's tax year, (i) a written notice describing the type and amount of support provided during the prior tax year, (ii) a copy of the Form 990 that was most recently filed as of the date of notification, and (iii) copies of the organization's governing documents in effect on the date of notification, to the extent not previously provided?		
<b>1</b>		
<b>2</b> Were any of the organization's officers, directors, or trustees either (i) appointed or elected by the supported organization(s) or (ii) serving on the governing body of a supported organization? If 'No,' explain in Part VI how the organization maintained a close and continuous working relationship with the supported organization(s).		
<b>2</b>		
<b>3</b> By reason of the relationship described in (2), did the organization's supported organizations have a significant voice in the organization's investment policies and in directing the use of the organization's income or assets at all times during the tax year? If 'Yes,' describe in Part VI the role the organization's supported organizations played in this regard.		
<b>3</b>		

**Section E. Type III Functionally Integrated Supporting Organizations**

- 1** Check the box next to the method that the organization used to satisfy the Integral Part Test during the year (see instructions).
- a** ☐ The organization satisfied the Activities Test. Complete line 2 below.
- b** ☐ The organization is the parent of each of its supported organizations. Complete line 3 below.
- c** ☐ The organization supported a governmental entity. Describe in Part VI how you supported a government entity (see instructions).

**2 Activities Test Answer (a) and (b) below.**

**a** Did substantially all of the organization's activities during the tax year directly further the exempt purposes of the supported organization(s) to which the organization was responsive? If 'Yes,' then in Part VI identify those supported organizations and explain how these activities directly furthered their exempt purposes, how the organization was responsive to those supported organizations, and how the organization determined that these activities constituted substantially all of its activities.

**b** Did the activities described in (a) constitute activities that, but for the organization's involvement, one or more of the organization's supported organization(s) would have been engaged in? If 'Yes,' explain in Part VI the reasons for the organization's position that its supported organization(s) would have engaged in these activities but for the organization's involvement.

**3 Parent of Supported Organizations Answer (a) and (b) below.**

**a** Did the organization have the power to regularly appoint or elect a majority of the officers, directors, or trustees of each of the supported organizations? Provide details in Part VI.

**b** Did the organization exercise a substantial degree of direction over the policies, programs, and activities of each of its supported organizations? If 'Yes,' describe in Part VI the role played by the organization in this regard.

	Yes	No
<b>2a</b>		
<b>2b</b>		
<b>3a</b>		
<b>3b</b>		

**Part V Type III Non-Functionally Integrated 509(a)(3) Supporting Organizations**

- 1 ☐ Check here if the organization satisfied the Integral Part Test as a qualifying trust on Nov. 20, 1970 (explain in Part VI). See instructions. All other Type III non-functionally integrated supporting organizations must complete Sections A through E

Section A – Adjusted Net Income		(A) Prior Year	(B) Current Year (optional)
1	Net short-term capital gain	1	
2	Recoveries of prior-year distributions	2	
3	Other gross income (see instructions)	3	
4	Add lines 1 through 3.	4	
5	Depreciation and depletion	5	
6	Portion of operating expenses paid or incurred for production or collection of gross income or for management, conservation, or maintenance of property held for production of income (see instructions)	6	
7	Other expenses (see instructions)	7	
8	<b>Adjusted Net Income</b> (subtract lines 5, 6, and 7 from line 4)	8	

Section B – Minimum Asset Amount		(A) Prior Year	(B) Current Year (optional)
1	Aggregate fair market value of all non-exempt-use assets (see instructions for short tax year or assets held for part of year)		
a	Average monthly value of securities	1 a	
b	Average monthly cash balances	1 b	
c	Fair market value of other non-exempt-use assets	1 c	
d	<b>Total</b> (add lines 1a, 1b, and 1c)	1 d	
e	Discount claimed for blockage or other factors (explain in detail in Part VI)		
2	Acquisition indebtedness applicable to non-exempt-use assets	2	
3	Subtract line 2 from line 1d	3	
4	Cash deemed held for exempt use. Enter 1-1/2% of line 3 (for greater amount, see instructions)	4	
5	Net value of non-exempt-use assets (subtract line 4 from line 3)	5	
6	Multiply line 5 by .035	6	
7	Recoveries of prior-year distributions	7	
8	<b>Minimum Asset Amount</b> (add line 7 to line 6)	8	

Section C – Distributable Amount		Current Year
1	Adjusted net income for prior year (from Section A, line 8, Column A)	1
2	Enter 85% of line 1.	2
3	Minimum asset amount for prior year (from Section B, line 8, Column A)	3
4	Enter greater of line 2 or line 3	4
5	Income tax imposed in prior year	5
6	<b>Distributable Amount.</b> Subtract line 5 from line 4, unless subject to emergency temporary reduction (see instructions)	6
7	<input type="checkbox"/> Check here if the current year is the organization's first as a non-functionally integrated Type III supporting organization (see instructions)	

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Schedule A (Form 990 or 990-EZ) 2016

**Part V Type III Non-Functionally Integrated 509(a)(3) Supporting Organizations (continued)****Section D – Distributions**

	Current Year
<b>1</b> Amounts paid to supported organizations to accomplish exempt purposes	
<b>2</b> Amounts paid to perform activity that directly furthers exempt purposes of supported organizations, in excess of income from activity	
<b>3</b> Administrative expenses paid to accomplish exempt purposes of supported organizations	
<b>4</b> Amounts paid to acquire exempt-use assets	
<b>5</b> Qualified set-aside amounts (prior IRS approval required)	
<b>6</b> Other distributions (describe in <b>Part VI</b> ) See instructions	
<b>7</b> Total annual distributions. Add lines 1 through 6	
<b>8</b> Distributions to attentive supported organizations to which the organization is responsive (provide details in <b>Part VI</b> ). See instructions	
<b>9</b> Distributable amount for 2016 from Section C, line 6	
<b>10</b> Line 8 amount divided by Line 9 amount	

**Section E – Distribution Allocations (see instructions)**

	(i) Excess Distributions	(ii) Underdistributions Pre-2016	(iii) Distributable Amount for 2016
<b>1</b> Distributable amount for 2016 from Section C, line 6			
<b>2</b> Underdistributions, if any, for years prior to 2016 (reasonable cause required – explain in <b>Part VI</b> ) See instructions			
<b>3</b> Excess distributions carryover, if any, to 2016			
<b>a</b>			
<b>b</b>			
<b>c</b> From 2013 . . . . .			
<b>d</b> From 2014 . . . . .			
<b>e</b> From 2015 . . . . .			
<b>f</b> Total of lines 3a through e			
<b>g</b> Applied to underdistributions of prior years			
<b>h</b> Applied to 2016 distributable amount			
<b>i</b> Carryover from 2011 not applied (see instructions)			
<b>j</b> Remainder Subtract lines 3g, 3h, and 3i from 3f			
<b>4</b> Distributions for 2016 from Section D, line 7 \$			
<b>a</b> Applied to underdistributions of prior years			
<b>b</b> Applied to 2016 distributable amount			
<b>c</b> Remainder Subtract lines 4a and 4b from 4.			
<b>5</b> Remaining underdistributions for years prior to 2016, if any Subtract lines 3g and 4a from line 2 For result greater than zero, explain in <b>Part VI</b> See instructions			
<b>6</b> Remaining underdistributions for 2016 Subtract lines 3h and 4b from line 1 For result greater than zero, explain in <b>Part VI</b> See instructions			
<b>7</b> Excess distributions carryover to 2017. Add lines 3j and 4c			
<b>8</b> Breakdown of line 7			
<b>a</b>			
<b>b</b> Excess from 2013 . . . .			
<b>c</b> Excess from 2014 . . . .			
<b>d</b> Excess from 2015 . . . .			
<b>e</b> Excess from 2016 . . . .			

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Schedule A (Form 990 or 990-EZ) 2016



**Part VI** **Supplemental Information.** Provide the explanations required by Part II, line 10; Part II, line 17a or 17b; Part III, line 12; Part IV, Section A, lines 1, 2, 3b, 3c, 4b, 4c, 5a, 6, 9a, 9b, 9c, 11a, 11b, and 11c; Part IV, Section B, lines 1 and 2; Part IV, Section C, line 1; Part IV, Section D, lines 2 and 3; Part IV, Section E, lines 1c, 2a, 2b, 3a, and 3b; Part V, line 1; Part V, Section B, line 1e; Part V, Section D, lines 5, 6, and 8; and Part V, Section E, lines 2, 5, and 6. Also complete this part for any additional information.  
(See instructions.)

Pt II Ln 10      Other Income Part II, Line 10 Description: Other Revenue 2015: 6045.  
2016: 4261.

**SCHEDULE D  
(Form 990)**

Department of the Treasury  
Internal Revenue Service  
Name of the organization

**Supplemental Financial Statements**

- Complete if the organization answered 'Yes' on Form 990, Part IV, line 6, 7, 8, 9, 10, 11a, 11b, 11c, 11d, 11e, 11f, 12a, or 12b.  
► Attach to Form 990.  
► Information about Schedule D (Form 990) and its instructions is at [www.irs.gov/form990](http://www.irs.gov/form990).

OMB No 1545-0047

**2016**

**Open to Public  
Inspection**

Employer identification number

Latino HealthCare Forum

46-1170748

**Part I Organizations Maintaining Donor Advised Funds or Other Similar Funds or Accounts.**

Complete if the organization answered 'Yes' on Form 990, Part IV, line 6.

	(a) Donor advised funds	(b) Funds and other accounts
1 Total number at end of year . . . . .		
2 Aggregate value of contributions to (during year) . . . . .		
3 Aggregate value of grants from (during year) . . . . .		
4 Aggregate value at end of year . . . . .		
5 Did the organization inform all donors and donor advisors in writing that the assets held in donor advised funds are the organization's property, subject to the organization's exclusive legal control? . . . . .	<input type="checkbox"/> Yes	<input type="checkbox"/> No
6 Did the organization inform all grantees, donors, and donor advisors in writing that grant funds can be used only for charitable purposes and not for the benefit of the donor or donor advisor, or for any other purpose conferring impermissible private benefit? . . . . .	<input type="checkbox"/> Yes	<input type="checkbox"/> No

**Part II Conservation Easements.**

Complete if the organization answered 'Yes' on Form 990, Part IV, line 7.

1 Purpose(s) of conservation easements held by the organization (check all that apply)

<input type="checkbox"/> Preservation of land for public use (e g , recreation or education)	<input type="checkbox"/> Preservation of a historically important land area
<input type="checkbox"/> Protection of natural habitat	<input type="checkbox"/> Preservation of a certified historic structure
<input type="checkbox"/> Preservation of open space	

2 Complete lines 2a through 2d if the organization held a qualified conservation contribution in the form of a conservation easement on the last day of the tax year

	Held at the End of the Tax Year
a Total number of conservation easements . . . . .	2 a
b Total acreage restricted by conservation easements . . . . .	2 b
c Number of conservation easements on a certified historic structure included in (a) . . . . .	2 c
d Number of conservation easements included in (c) acquired after 8/17/06, and not on a historic structure listed in the National Register . . . . .	2 d

3 Number of conservation easements modified, transferred, released, extinguished, or terminated by the organization during the tax year ► \_\_\_\_\_

4 Number of states where property subject to conservation easement is located ► \_\_\_\_\_

5 Does the organization have a written policy regarding the periodic monitoring, inspection, handling of violations, and enforcement of the conservation easements it holds? . . . . . ☐ Yes ☐ No

6 Staff and volunteer hours devoted to monitoring, inspecting, handling of violations, and enforcing conservation easements during the year ► \_\_\_\_\_

7 Amount of expenses incurred in monitoring, inspecting, handling of violations, and enforcing conservation easements during the year ► \$ \_\_\_\_\_

8 Does each conservation easement reported on line 2(d) above satisfy the requirements of section 170(h)(4)(B)(i) and section 170(h)(4)(B)(ii)? . . . . . ☐ Yes ☐ No

9 In Part XIII, describe how the organization reports conservation easements in its revenue and expense statement, and balance sheet, and include, if applicable, the text of the footnote to the organization's financial statements that describes the organization's accounting for conservation easements

**Part III Organizations Maintaining Collections of Art, Historical Treasures, or Other Similar Assets.**

Complete if the organization answered 'Yes' on Form 990, Part IV, line 8.

1a If the organization elected, as permitted under SFAS 116 (ASC 958), not to report in its revenue statement and balance sheet works of art, historical treasures, or other similar assets held for public exhibition, education, or research in furtherance of public service, provide, in Part XIII, the text of the footnote to its financial statements that describes these items

b If the organization elected, as permitted under SFAS 116 (ASC 958), to report in its revenue statement and balance sheet works of art, historical treasures, or other similar assets held for public exhibition, education, or research in furtherance of public service, provide the following amounts relating to these items

(i) Revenue included on Form 990, Part VIII, line 1 . . . . . ► \$ \_\_\_\_\_

(ii) Assets included in Form 990, Part X . . . . . ► \$ \_\_\_\_\_

2 If the organization received or held works of art, historical treasures, or other similar assets for financial gain, provide the following amounts required to be reported under SFAS 116 (ASC 958) relating to these items:

a Revenue included on Form 990, Part VIII, line 1 . . . . . ► \$ \_\_\_\_\_

b Assets included in Form 990, Part X . . . . . ► \$ \_\_\_\_\_

**Part III Organizations Maintaining Collections of Art, Historical Treasures, or Other Similar Assets** (continued)

3 Using the organization's acquisition, accession, and other records, check any of the following that are a significant use of its collection items (check all that apply).

- a ☐ Public exhibition  
 b ☐ Scholarly research  
 c ☐ Preservation for future generations  
 d ☐ Loan or exchange programs  
 e ☐ Other \_\_\_\_\_

4 Provide a description of the organization's collections and explain how they further the organization's exempt purpose in Part XIII.

5 During the year, did the organization solicit or receive donations of art, historical treasures, or other similar assets to be sold to raise funds rather than to be maintained as part of the organization's collection? ☐ Yes ☐ No

**Part IV Escrow and Custodial Arrangements.** Complete if the organization answered 'Yes' on Form 990, Part IV, line 9, or reported an amount on Form 990, Part X, line 21.

1a Is the organization an agent, trustee, custodian or other intermediary for contributions or other assets not included on Form 990, Part X? ☐ Yes ☐ No

b If 'Yes,' explain the arrangement in Part XIII and complete the following table

	Amount
c Beginning balance	1c
d Additions during the year	1d
e Distributions during the year	1e
f Ending balance	1f

2a Did the organization include an amount on Form 990, Part X, line 21, for escrow or custodial account liability? ☐ Yes ☐ No

b If 'Yes,' explain the arrangement in Part XIII. Check here if the explanation has been provided on Part XIII ☐

**Part V Endowment Funds.** Complete if the organization answered 'Yes' on Form 990, Part IV, line 10.

	(a) Current year	(b) Prior year	(c) Two years back	(d) Three years back	(e) Four years back
1a Beginning of year balance					
b Contributions					
c Net investment earnings, gains, and losses					
d Grants or scholarships					
e Other expenditures for facilities and programs					
f Administrative expenses					
g End of year balance					

2 Provide the estimated percentage of the current year end balance (line 1g, column (a)) held as

- a Board designated or quasi-endowment ☐ %  
 b Permanent endowment ☐ %  
 c Temporarily restricted endowment ☐ %

The percentages on lines 2a, 2b, and 2c should equal 100%

3a Are there endowment funds not in the possession of the organization that are held and administered for the organization by

- (i) unrelated organizations ☐ 3a(i) Yes No  
 (ii) related organizations ☐ 3a(ii) Yes No

b If 'Yes' on line 3a(ii), are the related organizations listed as required on Schedule R? ☐ 3b Yes No

4 Describe in Part XIII the intended uses of the organization's endowment funds

**Part VI Land, Buildings, and Equipment.**

Complete if the organization answered 'Yes' on Form 990, Part IV, line 11a. See Form 990, Part X, line 10.

Description of property	(a) Cost or other basis (investment)	(b) Cost or other basis (other)	(c) Accumulated depreciation	(d) Book value
1a Land				
b Buildings				
c Leasehold improvements				
d Equipment				
e Other		1,971.		1,971.
<b>Total.</b> Add lines 1a through 1e. (Column (d) must equal Form 990, Part X, column (B), line 10c)				1,971.

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Schedule D (Form 990) 2016

**Part VII Investments – Other Securities.**

Complete if the organization answered 'Yes' on Form 990, Part IV, line 11b. See Form 990, Part X, line 12.

(a) Description of security or category (including name of security)	(b) Book value	(c) Method of valuation Cost or end-of-year market value
(1) Financial derivatives . . . . .		
(2) Closely-held equity interests . . . . .		
(3) Other		
(A) -----		
(B) -----		
(C) -----		
(D) -----		
(E) -----		
(F) -----		
(G) -----		
(H) -----		
(I) -----		
Total. (Column (b) must equal Form 990, Part X, column (B) line 12) . . ▶		

**Part VIII Investments – Program Related.**

Complete if the organization answered 'Yes' on Form 990, Part IV, line 11c. See Form 990, Part X, line 13.

(a) Description of investment	(b) Book value	(c) Method of valuation Cost or end-of-year market value
(1) -----		
(2) -----		
(3) -----		
(4) -----		
(5) -----		
(6) -----		
(7) -----		
(8) -----		
(9) -----		
(10) -----		
Total. (Column (b) must equal Form 990, Part X, column (B) line 13) . . ▶		

**Part IX Other Assets.**

Complete if the organization answered 'Yes' on Form 990, Part IV, line 11d. See Form 990, Part X, line 15.

(a) Description	(b) Book value
(1) -----	
(2) -----	
(3) -----	
(4) -----	
(5) -----	
(6) -----	
(7) -----	
(8) -----	
(9) -----	
(10) -----	
Total. (Column (b) must equal Form 990, Part X, column (B) line 15) . . . . . ▶	

**Part X Other Liabilities.**

Complete if the organization answered 'Yes' on Form 990, Part IV, line 11e or 11f. See Form 990, Part X, line 25

(a) Description of liability	(b) Book value
(1) Federal income taxes	
(2) -----	
(3) -----	
(4) -----	
(5) -----	
(6) -----	
(7) -----	
(8) -----	
(9) -----	
(10) -----	
(11) -----	
Total. (Column (b) must equal Form 990, Part X, column (B) line 25) . . . ▶	

2. Liability for uncertain tax positions. In Part XIII, provide the text of the footnote to the organization's financial statements that reports the organization's liability for uncertain tax positions under FIN 48 (ASC 740). Check here if the text of the footnote has been provided in Part XIII. ☐

**Part XI Reconciliation of Revenue per Audited Financial Statements With Revenue per Return.**

Complete if the organization answered 'Yes' on Form 990, Part IV, line 12a.

<b>1</b>	Total revenue, gains, and other support per audited financial statements . . . . .	<b>1</b>	621,521.
<b>2</b>	Amounts included on line 1 but not on Form 990, Part VIII, line 12		
<b>a</b>	Net unrealized gains (losses) on investments . . . . .	<b>2 a</b>	
<b>b</b>	Donated services and use of facilities . . . . .	<b>2 b</b>	18,750.
<b>c</b>	Recoveries of prior year grants . . . . .	<b>2 c</b>	
<b>d</b>	Other (Describe in Part XIII) . . . . .	<b>2 d</b>	
<b>e</b>	Add lines 2a through 2d . . . . .	<b>2 e</b>	18,750.
<b>3</b>	Subtract line 2e from line 1 . . . . .	<b>3</b>	602,771.
<b>4</b>	Amounts included on Form 990, Part VIII, line 12, but not on line 1		
<b>a</b>	Investment expenses not included on Form 990, Part VIII, line 7b. . . . .	<b>4 a</b>	
<b>b</b>	Other (Describe in Part XIII) . . . . .	<b>4 b</b>	
<b>c</b>	Add lines 4a and 4b . . . . .	<b>4 c</b>	
<b>5</b>	Total revenue. Add lines 3 and 4c. (This must equal Form 990, Part I, line 12) . . . . .	<b>5</b>	602,771.

**Part XII Reconciliation of Expenses per Audited Financial Statements With Expenses per Return.**

Complete if the organization answered 'Yes' on Form 990, Part IV, line 12a.

<b>1</b>	Total expenses and losses per audited financial statements. . . . .	<b>1</b>	706,098.
<b>2</b>	Amounts included on line 1 but not on Form 990, Part IX, line 25		
<b>a</b>	Donated services and use of facilities . . . . .	<b>2 a</b>	18,750.
<b>b</b>	Prior year adjustments . . . . .	<b>2 b</b>	
<b>c</b>	Other losses . . . . .	<b>2 c</b>	
<b>d</b>	Other (Describe in Part XIII) . . . . .	<b>2 d</b>	
<b>e</b>	Add lines 2a through 2d . . . . .	<b>2 e</b>	18,750.
<b>3</b>	Subtract line 2e from line 1 . . . . .	<b>3</b>	687,348.
<b>4</b>	Amounts included on Form 990, Part IX, line 25, but not on line 1		
<b>a</b>	Investment expenses not included on Form 990, Part VIII, line 7b. . . . .	<b>4 a</b>	
<b>b</b>	Other (Describe in Part XIII) . . . . .	<b>4 b</b>	
<b>c</b>	Add lines 4a and 4b . . . . .	<b>4 c</b>	
<b>5</b>	Total expenses. Add lines 3 and 4c. (This must equal Form 990, Part I, line 18) . . . . .	<b>5</b>	687,348.

**Part XIII Supplemental Information.**

Provide the descriptions required for Part II, lines 3, 5, and 9, Part III, lines 1a and 4, Part IV, lines 1b and 2b, Part V, line 4, Part X, line 2, Part XI, lines 2d and 4b, and Part XII, lines 2d and 4b. Also complete this part to provide any additional information.

**SCHEDULE O**  
**(Form 990 or 990-EZ)**

Department of the Treasury  
Internal Revenue Service

Name of the organization

**Supplemental Information to Form 990 or 990-EZ**

Complete to provide information for responses to specific questions on  
Form 990 or 990-EZ or to provide any additional information.

► Attach to Form 990 or 990-EZ.

► Information about Schedule O (Form 990 or 990-EZ) and its instructions is  
at [www.irs.gov/form990](http://www.irs.gov/form990).

OMB No 1545-0047

**2016**

Open to Public  
Inspection

Employer identification number

Latino HealthCare Forum

46-1170748

The Board of Directors is an active and engaged board. They have an understanding of the Form 990 and that it is designed to enhance transparency of the organization's mission and activities and promote compliance with applicable tax law requirements. The board reviews all parts of the 990 in order to effectively perform their fiduciary responsibilities. They review the 990 according to a checklist for each part; Part I - Summary to ensure the mission is clearly articulated; Part II - Program Service to increase awareness by describing program services; Part IV - to ensure schedules or completed; Part V - to adhere to compliance requirements; Part VI - to make sure the organization promotes transparency; Part VII - to check that excessive compensation is justifiable ; Part VIII - review of detailed information on sources of support; and all other Parts concerning expenses, balance sheet, political activities, and compensation information is detailed.

The Board of Directors review the policy.

There is a link found on the website.

Latins HealthCare Forum began using the accrual method of accounting in 2016. Adjustments to net assets reflects this change.

Pt VI, Line 11b

Pt VI, Line 12c

Pt VI, Line 19

Pt XI



## City of Austin

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CT-9100-14112400111 – Latino HealthCare Forum

This agreement was created by the Health and Human Services Department (HHSD) and is administered and maintained by the same. There is no procurement function other than the creation of the payment vehicle.



**ROUTING SLIP FOR  
City of Austin Purchasing**

**TO:** Erin D'Vincent, Buyer, Purchasing

**FROM:** Leslie Boyd, Grant Coordinator, Community Services

**Sender's Telephone:** (512) 972-5036

**DATE SENT:** Wednesday, November 12, 2014

**DOCUMENT:** New Social Services Deliverables contract with Latino Healthcare Forum for Affordable Care Act (ACA) Enrollment

**REQUESTED ACTION:** Execute new Social Services Deliverables contract and encumber funds for Latino Healthcare Forum for the Affordable Care Act (ACA) Enrollment program

**Vendor Name:** Latino Healthcare Forum

**Contract (Term/Amendment) Amount:** \$200,000.00

**Total Contract Amount:** \$200,000.00

**Vendor Code:** V00000916205

(For EXISTING Contracts Only)>>

**Contract (MA) Number:** TBD

**Annual Contract Term:** 10/1/2014-9/30/2015

**Total Contract Term:** 10/1/2014-9/30/2015

CODE	Fund	Dept	Unit	Object	Grant Program	Program Period	Program Number	Amount
Commodity Line 1	1005	9100	1091	6825				\$200,000

**BUDGETARY AND FISCAL IMPACT/PROGRAM DESCRIPTION:**

The Latino Healthcare Forum will provide outreach and education to 140,000 uninsured vulnerable, hard-to-reach population and enrollment support to enroll 2,500 uninsured individuals over the period of ACA open enrollment from November 15, 2014 to February 15, 2015.

**RXQ Text:**

**RX Completed: (Initial/Date)** \_\_\_\_\_

Request to execute a new deliverables contract with Latino Healthcare Forum for the period of 10/1/2014-9/30/2015. There are no authorized extension options.

**DO Instructions:**

**DO Completed: (Initial/Date)** \_\_\_\_\_

Request to encumber FY14-15 funds in the amount of \$200,000 for the period of 10/1/2014-9/30/2015

**Amount Encumbered:** \$200,000.00

**Encumbrance Period:** 10/1/2014-9/30/2015

**Documents Attached:** ☒ Debarment/Suspension Forms ☒ Other- Risk Manager approval ☒ RCA/Council Resolution  
☒ Contract/Amendment ☒ Approved Insurance Certificates

**APPROVALS**

**CONTRACT MANAGER:** Leslie Boyd for Robert Kingham *LB*

**DATE:** 11/12/2014

\*(For Contract Execution Only) I acknowledge that I have sent an electronic copy of the Purchasing Routing Slip for the attached contract to the Contract Compliance Unit at HHSDCCU@austintexas.gov

**CS Financial Specialist** *[Signature]*

**DATE:** 11/12/14

**Comments:** \_\_\_\_\_

**PROGRAM MANAGER:** *[Signature]*

**DATE:** 11/12/14

**Comments:** \_\_\_\_\_

**ASSISTANT DIRECTOR:** *[Signature]*

**DATE:** 11/13/14

**Comments:** \_\_\_\_\_

**BUDGET:** *[Signature]*

**DATE:** 11/14/14

**CFO:** *[Signature]*

**DATE:** 11/14/14

**Comments:** \_\_\_\_\_

**HHSD DIRECTOR:** Not Applicable

**DATE:** \_\_\_\_\_

**Comments:** \_\_\_\_\_

**ROUTING INFORMATION**

**Copy to CFO:** ☐ Yes ☒ No

**Call for Pickup Name:** \_\_\_\_\_

Leslie Boyd

**Number:** (512) 972-5036

**ADDITIONAL INFORMATION**

# AGENDA



## Recommendation for Council Action

Austin City Council	Item ID	37487	Agenda Number	24.
Meeting Date:	11/6/2014	Department:	Health and Human Services	

### Subject

Approve negotiation and execution of a contract with LATINO Healthcare Forum for insurance enrollment educational outreach and navigation services for the Affordable Care Act Health Insurance Marketplace, for a twelve-month term beginning on October 1, 2014 and ending on September 30, 2015, for a total contract amount not to exceed \$200,000

### Amount and Source of Funding

Funding in the amount of \$200,000 is included in the Fiscal Year 2014-2015 Operating Budget of the Health and Human Services Department.

### Fiscal Note

A fiscal note is not required.

#### Purchasing Language:

#### Prior Council Action:

On September 9, 2014, Council approved Ordinance No. 20140909-001 adopting the Fiscal Year 2014-2015 Operating Budget.

#### For More Information:

Stephanie Hayden, Asst. Director, Community Services, 972-5017; Robert Kingham, Manager, 972-5026; Elena Shemilina, Agenda Coordinator, 512-972-5010

#### Boards and Commission Action:

#### MBE / WBE:

#### Related Items:

### Additional Backup Information

More than 6.3 million Texans - including 1.2 million children - lack health insurance. Texas' uninsured rates, 1.5 to 2 times the national average, create significant problems in the financing and delivery of health care to all Texans. Racial and ethnic minorities are significantly less likely than the rest of the population to have health insurance. In Texas, 39 percent of Hispanics/Latinos, 22 percent of African Americans, and 20 percent of other races are uninsured. In Travis County, it is estimated that over 200,000 individuals do not have health insurance.

The Patient Protection and Affordable Care Act of 2010 (ACA) was signed into law on March 23, 2010 to reform health care in America. The new health care law includes reforms to the affordability, quality, and availability of health insurance and new cost cutting measures, rules, and regulations for both public and private health insurance companies and the health care industry. The ACA aims to increase the amount of Americans who have access to affordable health insurance. This is done, in part, by providing tax credits to individuals who need help paying for insurance and opening up competitive, regulated, online health insurance exchanges (AKA marketplaces) where individuals can buy insurance and receive cost-assistance

LATINO HEALTHCARE FORUM is an Austin, Texas based nonprofit organization concerned with reducing racial and ethnic health disparities. They provide educational outreach and healthcare enrollment assistance for the uninsured and underinsured seeking to obtain coverage through the Affordable Care Act. In addition, they train community members to become community health workers or "promotoras" and connect vulnerable populations with health resources.

Performance Measures, as well as contract exhibits, will be negotiated with the LATINO HEALTHCARE FORUM staff.

Related Departmental Goal: Provision: Social Services – Promote a healthy community by addressing the needs of

vulnerable households.





**CONTRACT BETWEEN  
THE CITY OF AUSTIN  
AND  
LATINO HEALTHCARE FORUM  
FOR  
SOCIAL SERVICES (DELIVERABLES CONTRACT)  
(ACA Enrollment)  
CONTRACT NO. CT 9100 1411240011  
CONTRACT AMOUNT: \$200,000**

This Contract is made by and between the City of Austin ("City") acting by and through its Health and Human Services Department ("HHSD"), a home-rule municipality incorporated by the State of Texas, and Latino Healthcare Forum ("Contractor"), a Texas non-profit corporation, having offices at 6601 Felix Ave, Austin, TX 78741.

**SECTION 1. GRANT OF AUTHORITY, SERVICES AND DUTIES**

1.1 **Engagement of the Contractor.** Subject to the general supervision and control of the City and subject to the provisions of the Terms and Conditions contained herein, the Contractor is engaged to provide the services set forth in the Program Work Statement, attached hereto as Exhibit A.1.

1.2 **Responsibilities of the Contractor.** The Contractor shall provide all technical and professional expertise, knowledge, management, and other resources required for accomplishing all aspects of the tasks and associated activities identified in the Program Work Statement. The Contractor shall assure that all Contract provisions are met by the Subcontractor.

1.3 **Responsibilities of the City.** The City's Contract Manager will be responsible for exercising general oversight of the Contractor's activities in completing the Program Work Statement. Specifically, the Contract Manager will represent the City's interests in resolving day-to-day issues that may arise during the term of this Contract, shall participate regularly in conference calls or meetings for status reporting, shall promptly review any written reports submitted by the Contractor, and shall approve all requests for payment for payment, as appropriate. The City's Contract Manager shall give the Contractor timely feedback on the acceptability of progress and task reports.

1.4 **Designation of Key Personnel.** City's Contract Manager for this Contract shall be responsible for oversight and monitoring of Contractor's performance under this Contract.

1.4.1 City's Contract Manager, Robert Kingham, Manager or designee:

- may meet with Contractor to discuss any operational issues or the status of the services or work to be performed; and
- shall promptly review all written reports submitted by Contractor, determine whether the reports comply with the terms of this Contract, and give Contractor timely feedback on the adequacy of progress and task reports or necessary additional information,

1.4.2 Contractor's Contract Manager, Frank Rodriguez, President and Chief Executive Officer, shall represent the Contractor with regard to performance of this Contract and shall be the designated point of contact for the City's Contract Manager.

1.4.3 If either party replaces its Contract Manager, that party shall promptly send written notice of the change to the other party. The notice shall identify a qualified and competent replacement and provide contact information.

## **SECTION 2. TERM**

2.1 **Term of Contract.** The Contract shall be in effect for a term of twelve (12) months beginning October 1, 2014 and ending September 30, 2015. There are no authorized extension options.

2.1.1 Upon expiration of the initial term or period of extension, the Contractor agrees to hold over under the terms and conditions of this Contract for such a period of time as is reasonably necessary to re-solicit and/or complete the project (not to exceed 120 calendar days unless mutually agreed on in writing).

## **SECTION 3. PROGRAM WORK STATEMENT**

3.1 **Contractor's Obligations.** The Contractor shall fully and timely provide all services described in Exhibit A.1, Program Work Statement in strict accordance with the terms, covenants, and conditions of the Contract and all applicable Federal, State, and local laws, rules, and regulations.

## **SECTION 4. COMPENSATION AND REPORTING**

4.1 **Contract Amount.** The Contractor acknowledges and agrees that, notwithstanding any other provision of this Contract, the maximum amount payable by City under this Contract for the twelve (12) month term shall not exceed the amount approved by City Council, which is **\$200,000 (Two Hundred Thousand dollars)**, for a total Contract amount of \$200,000. Continuation of the Contract beyond the initial twelve (12) months is specifically contingent upon the availability and allocation of funding by City Council.

4.2 **Requests for Payment.**

Payment to the Contractor shall be due thirty (30) calendar days following receipt by City's Contract Manager of Contractor's fully completed "Payment Request" and "Monthly Expenditure Report", using the forms shown at <http://www.ckodm.com/austin/>. The payment request and expenditure report must be submitted to the City's Contract Manager no later than fifteen (15) calendar days following the end of the month covered by the request and expenditure report. **Contractor must provide the City with supporting documentation as described in Exhibit A.1, Program Work Statement for each monthly Payment Request where a contract deliverable is being submitted.**

**The City retains right of final approval of any supporting documentation submitted before a Payment Request is approved for processing. Failure to provide supporting documentation acceptable to the City may result in delay or rejection of the Payment Request. The City reserves the right to modify the required supporting documentation from time to time, as needed.**

4.3 **Payment.**

4.3.1 All proper requests for payment received by the City will be paid within thirty (30) calendar days of the City's receipt of the deliverables or of the invoice, whichever is later. Requests for Payment received without all required information cannot be processed and will be returned to the Contractor.

4.3.2 If payment is not timely made, (per this paragraph), interest shall accrue on the unpaid balance at the lesser of the rate specified in Texas Government Code Section 2251.025 or the maximum lawful rate; except, if payment is not timely made for a reason for which the City may withhold payment hereunder, interest shall not accrue until ten (10) calendar days after the grounds for withholding payment have been resolved.

4.3.3 The City may withhold or set off the entire payment or part of any payment otherwise due the Contractor to such extent as may be necessary on account of;

4.3.3.1 delivery of unsatisfactory services by the Contractor;

4.3.3.2 third party claims, which are not covered by the insurance which the Contractor is required to provide, are filed or reasonable evidence indicating probable filing of such claims;

4.3.3.3 failure of the Contractor to pay Subcontractors, or for labor, materials or equipment,

4.3.3.4 damage to the property of the City or the City's agents, employees or contractors, which is not covered by insurance required to be provided by the Contractor;

4.3.3.5 reasonable evidence that the Contractor's obligations will not be completed within the time specified in the Contract, and that the unpaid balance would not be adequate to cover actual or liquidated damages for the anticipated delay;

4.3.3.6 failure of the Contractor to submit proper payment requests and expenditure reports with all required attachments and supporting documentation; or

4.3.3.7 failure of the Contractor to comply with any material provision of the Contract.

4.3.4 Notice is hereby given of Article VIII, Section 1 of the Austin City Charter which prohibits the payment of any money to any person, firm or corporation who is in arrears to the City for taxes, and of §2-8-3 of the Austin City Code concerning the right of the City to offset indebtedness owed the City. Payment will be made by check unless the parties mutually agree to payment by electronic transfer of funds.

4.4 **Non-Appropriation.** The awarding or continuation of this Contract is dependent upon the availability of funding. The City's payment obligations are payable only and solely from funds Appropriated and available for this Contract. The absence of Appropriated or other lawfully available funds shall render the Contract null and void to the extent funds are not Appropriated or available and any deliverables delivered but unpaid shall be returned to the Contractor. The City shall provide the Contractor written notice of the failure of the City to make an adequate appropriation for any fiscal year to pay the amounts due under the Contract, or the reduction of any appropriation to an amount insufficient to permit the City to pay its obligations under the Contract. In the event of non or inadequate appropriation of funds, there will be no penalty nor removal fees charged to the City.

4.5 **Final Payment and Close-Out.**

4.5.1 The making and acceptance of final payment will constitute:

4.5.1.1 a waiver of all claims by the City against the Contractor, except claims (1) which have been previously asserted in writing and not yet settled, (2) arising from defective work appearing after final inspection, (3) arising from failure of the Contractor to comply with the Contract or the terms of any warranty specified herein, (4) arising from the Contractor's continuing obligations under the Contract, including but not limited to indemnity and warranty obligations, or (5) arising under the City's right to audit; and

4.5.1.2 a waiver of all claims by the Contractor against the City other than those previously asserted in writing and not yet settled.

4.6 **Financial Terms.**

4.6.1 City agrees to pay Contractor for services rendered under this Contract and to reimburse Contractor according to the payment schedule identified in Exhibit A.1, Program Work Statement.



4.6.2 City's obligation to pay is subject to the timely receipt of complete and accurate reports as set forth in Exhibit A.1, Program Work Statement, and any other deliverable required under this Contract.

4.7.3 Payments to the Contractor will immediately be suspended upon the occasion of any late, incomplete, or inaccurate report, audit, or other required report or deliverable under this Contract, and payments will not be resumed until the Contractor is in full compliance.

4.7.4 City shall not be liable to Contractor for any costs which have been paid under other agreements or from other funds. In addition, City shall not be liable for any costs incurred by Contractor which were: a) incurred prior to the effective date of this Contract, or b) not billed to City within sixty (60) calendar days following termination date of this Contract.

4.7.5 Contractor agrees to refund to City any funds paid under this Contract which City determines have resulted in overpayment to Contractor or which City determines have not been spent by Contractor in accordance with the terms of this Contract. Refunds shall be made by Contractor within thirty (30) calendar days after a written refund request is submitted by City. City may, at its discretion, offset refunds due from any payment due Contractor, and City may also deduct any loss, cost, or expense caused by Contractor from funds otherwise due.

4.7.6 Contractor shall deposit and maintain all funds received under this Contract in either a separate numbered bank account or a general operating account, either of which shall be supported with the maintenance of a separate accounting with a specific chart which reflects specific revenues and expenditures for the monies received under this Contract. The Contractor's accounting system must identify the specific expenditures, or portions of expenditures, against which funds under this Contract are disbursed.

4.7.7 Contractor is required to utilize an online contract management system for billing and reporting in accordance with City guidelines, policies, and procedures. Contractor is responsible for all data entered/edited under its unique username, as well as all required but omitted data.

#### 4.9 **Reports.**

4.9.1 Contractor must submit a fully and accurately completed "Payment Request" and "Monthly Expenditure Report" to the City's Contract Manager using the forms shown at <http://www.ckodm.com/austin/> no later than fifteen (15) calendar days following the end of the month covered by the request and expenditure report. Contractor must provide complete and accurate supporting documentation. Upon receipt and approval by the City of each complete and accurate Payment Request and Monthly Expenditure Report, the City shall process payment to the Contractor of an amount equal to City's payment obligations, subject to deduction for any unallowable costs.

4.9.3 An annual Contract closeout report using the forms shown at <http://www.ckodm.com/austin/> shall be completed by the Contractor and submitted to the City within sixty (60) calendar days following the expiration or termination of this Contract. Any encumbrances of funds incurred prior to the date of termination of this Contract shall be subject to verification by City. Upon termination of this Contract, any unused funds, unobligated funds, rebates, credits, or interest earned on funds received under this Contract shall be returned to the City.

4.9.5 Contractor shall provide other reports required by the City to document the effective and appropriate delivery of services as outlined under this Contract as required by the City.

#### 4.10 **Contractor Policies and Procedures.** Contractor shall maintain written policies and procedures approved by its governing body and shall make copies of all policies and procedures available to the City upon request. At a minimum, written policies shall exist in the following areas: Financial Management; Subcontracting and/or Procurement; Equal Employment Opportunity; Personnel and Personnel Grievance; Nepotism; Non-Discrimination of Clients; Client Grievance; Drug Free Workplace; the Americans With Disabilities Act; and Criminal Background Checks.



#### **4.11 Monitoring and Evaluation.**

4.11.1 Contractor agrees that the City or its designee may carry out monitoring and evaluation activities to ensure adherence by the Contractor and Subcontractors to the Program Work Statement, as well as other provisions of this Contract. Contractor shall fully cooperate in any monitoring or review by the City and further agrees to designate a staff member to coordinate monitoring and evaluation activities.

4.11.2 Contractor shall provide City with copies of all evaluation or monitoring reports received from other funding sources during the Contract Term within twenty (20) working days following the receipt of the final report.

4.11.3 Contractor shall keep on file copies of all notices of Board of Directors meetings, Subcommittee or Advisory Board meetings, and copies of minutes of those meetings.

#### **4.12 Financial Audit of Contractor.**

4.12.1 In the event Contractor expends \$750,000 or more in a year in federal awards, Contractor shall have a single or program specific audit conducted in accordance with Chapter 200, Subpart F, of Title 2 of the Code of Federal Regulations as required by the Single Audit Act of 1984, as amended (Single Audit Act), and shall submit to the City a complete set of audited financial statements and the auditor's opinion and management letters in accordance with Chapter 200, Subpart F, of Title 2 of the Code of Federal Regulations and any guidance issued by the federal Office of Management and Budget covering Contractor's fiscal year until the end of the term of this Contract.

4.12.2 If Contractor is not subject to the Single Audit Act, and expends seven hundred fifty thousand dollars (\$750,000) or more during the Contractor's fiscal year, then Contractor shall have a full financial audit performed. If less than seven hundred fifty thousand dollars (\$750,000) is expended, then a financial review is acceptable, pursuant to the requirements of this Contract.

4.12.3 Contractor shall contract with an independent auditor utilizing a Letter of Engagement. The auditor must be a Certified Public Accountant recognized by the regulatory authority of the State of Texas.

4.12.4 Contractor must submit one (1) Board-approved, bound hard copy of a complete financial audit report or financial review, to include the original auditor opinion, within one hundred eighty (180) calendar days of the end of Contractor's fiscal year, unless alternative arrangements are approved in writing by the City. The financial audit report/financial review must include the Management Letter if one was issued by the auditor. Contractor may not submit electronic copies of financial audit reports/financial reviews to the City. Financial audit reports/financial reviews must be provided in hard copy, and either mailed or hand-delivered to the City.

4.12.5 City will contact the independent auditor to verify:

- i. That the auditor completed the financial audit report/financial review received from the Contractor;
- ii. That the auditor presented the financial audit report/financial review to the Contractor's Board of Directors or a committee of the Board, and;
- iii. The date the financial audit report/financial review was presented to the Contractor's Board of Directors or a committee of the Board.

4.12.6 City will contact the Board Chair to verify that the auditor presented the financial audit report/financial review to the Contractor's Board of Directors or a committee of the Board.

- i. Contractor's Board Chair must submit a signed and dated copy of the HHSD Board Certification form to the City as verification.
- ii. In lieu of the Board Certification form, Contractor must submit a signed and copy of the approved Board meeting minutes to the City, indicating the following:

- a) The Board of Directors, or a committee of the Board, has met with the independent auditor;
- b) The Board of Directors has authorized and accepted the financial audit report/financial review.

City will deem the financial audit report/financial review incomplete if Contractor fails to submit either the Board Certification form or the Board minutes as required by this section 4.12. Approved and signed Board minutes reflecting acceptance of the financial audit report/financial review will be due to the City within forty-five (45) days after the audit is due to the City. Board minutes regarding approval of the Contractor's financial audit report/financial review will be verified with the Contractor's Board Chair.

4.12.7 The inclusion of any Findings or a Going Concern Uncertainty, as defined by OMB Cir A-133, in a Contractor's audit requires the creation and submission to the City of a corrective action plan formally approved by the Contractor's governing board. The plan must be submitted to the City within 60 days after the audit is due to the City. Failure to submit an adequate plan to the City may result in the immediate suspension of funding. If adequate improvement related to the audit findings is not documented within a reasonable period of time, the City may provide additional technical assistance, refer the Agreement to the City Auditor for analysis, or move to terminate the Agreement as specified in Section 5 of the Agreement.

4.12.8 The expiration or termination of this Contract shall in no way relieve the Contractor of the audit requirement set forth in this Section.

#### 4.12.9 **Right To Audit By Office of City Auditor.**

4.12.9.1 Contractor agrees that the representatives of the Office of the City Auditor, or other authorized representatives of the City, shall have access to, and the right to audit, examine, and copy any and all records of the Contractor related to the performance under this Agreement during normal business hours (Monday – Friday, 8 am – 5 pm). In addition to any other rights of termination or suspension set forth herein, City shall have the right to immediately suspend the Agreement, upon written notice to Contractor, if Contractor fails to cooperate with this audit provision. The Contractor shall retain all such records for a period of five (5) years after the expiration or early termination of this Agreement or until all audit and litigation matters that the City has brought to the attention of the Contractor are resolved, whichever is longer. The Contractor agrees to refund to the City any overpayments disclosed by any such audit.

4.12.9.2 Contractor shall include this audit requirement in any subcontracts entered into in connection with this Agreement.

## SECTION 5. TERMINATION

- 5.1 **Right To Assurance.** Whenever one party to the Contract in good faith has reason to question the other party's intent to perform, demand may be made to the other party for written assurance of the intent to perform. In the event that no assurance is given within the time specified after demand is made, the demanding party may treat this failure as an anticipatory repudiation of the Contract.
- 5.2 **Default.** The Contractor shall be in default under the Contract if the Contractor (a) fails to fully, timely and faithfully perform any of its material obligations under the Contract, (b) fails to provide adequate assurance of performance under the "Right to Assurance paragraph herein, (c) becomes insolvent or seeks relief under the bankruptcy laws of the United States or (d) makes a material misrepresentation in Contractor's Offer, or in any report or deliverable required to be submitted by Contractor to the City.
- 5.3 **Termination For Cause.** In the event of a default by the Contractor, the City shall have the right to terminate the Contract for cause, by written notice effective ten (10) calendar days, unless otherwise

If a Legal Holiday falls on Saturday, it will be observed on the preceding Friday. If a Legal Holiday falls on Sunday, it will be observed on the following Monday.

8.25 **Survivability of Obligations.** All provisions of the Contract that impose continuing obligations on the parties, including but not limited to the warranty, indemnity, and confidentiality obligations of the parties, shall survive the expiration or termination of the Contract.

8.26 **Non-Suspension or Debarment Certification.** The City is prohibited from contracting with or making prime or sub-awards to parties that are suspended or debarred or whose principals are suspended or debarred from Federal, State, or City of Austin Contracts. By accepting a contract with the City, the Contractor certifies that its firm and its principals are not currently suspended or debarred from doing business with the Federal Government, as indicated by the Exclusions records at SAM.gov, the State of Texas, or the City of Austin.

In witness whereof, the parties have caused duly authorized representatives to execute this Contract on the dates set forth below.

**LATINO HEALTHCARE FORUM**

Signature: \_\_\_\_\_

Name: \_\_\_\_\_

Printed Name

Title: \_\_\_\_\_

Date: \_\_\_\_\_

**CITY OF AUSTIN**

Signature: \_\_\_\_\_

Name: \_\_\_\_\_

PURCHASING OFFICE

Date: \_\_\_\_\_

**EXHIBITS**

**Exhibit A.1 Program Work Statement (Deliverables)**

**Exhibit C – Equal Employment/Fair Housing Office/Non-Discrimination Certification**



## **PROGRAM WORK STATEMENT**

### **Social Services Deliverables Contract**

#### **1. Introduction/Overview** *(what is the purpose of this contract?)*

The Latino HealthCare Forum (LHCF) is a community-based nonprofit formed to improve the health of all Texans by assuring their access to affordable high quality care. The mission of the LHCF is to increase the number of insured Texans, improve health care quality, lower costs, and reduce health disparities. Through consumer focused outreach activities the Latino HealthCare Forum empowers consumers to choose health insurance plans that give them the best value. The LHCF is presenting this proposal to the City of Austin Health and Human Services for funding consideration to provide outreach and education to 140,000 uninsured vulnerable, hard-to-reach population and enrollment support to enroll 2,500 uninsured individuals over the period of open enrollment from November 15, 2014 to February 15, 2015.

**Goals.** The goals of the project are as follows:

1. Establish a program using Outreach and Enrollment Specialists (OES) that reflects the cultural and linguistic diversity of the target audiences and results in successful relationships and partnerships.
2. Ensure that OES are knowledgeable of both subsidized and non-subsidized health coverage and qualified health plans and Navigators are equipped with the information and expertise needed to successfully educate and enroll individuals in coverage regardless of the type of program for which they are eligible.
3. Promote retention of existing insurance coverage in public programs.
4. Establish quality assurance standards and protocols
5. Design a program that provides a seamless, "no wrong door" consumer experience regardless of program eligibility.
6. Leverage existing public and private health distribution channels and funding sources outside the Marketplace to achieve enrollment goals while maintaining common program standards for all individuals assisted with enrollment in Marketplace products.
7. Ensure that OES will adhere to a code of conduct, confidentiality and guideline agreements.

**Secure Your Health/Asegure Su Salud Campaign.** For the previous enrollment period, the LHCF used grassroots organizing methods and tactics as those used in political campaigns by using data to target key consumers to educate and engage and to take action to avail themselves of health coverage options. Data driven strategies were used to deliver effective messaging. Data was derived for the Secure Your Health campaign that focused on seven key zip codes where the majority of the uninsured lived. Partnerships were developed with community-based groups that serve the vulnerable and hard-to-reach minority populations in basic needs, housing, and health. Additionally, partnerships and collaborations were made with colleges, small business, and health centers and other entities. Contact information was provided to our team who followed up with interested consumers.

The components of the Latino HealthCare Forum's targeted campaign, "Secure Your Health/Asegure Su Salud" approach is shown below:



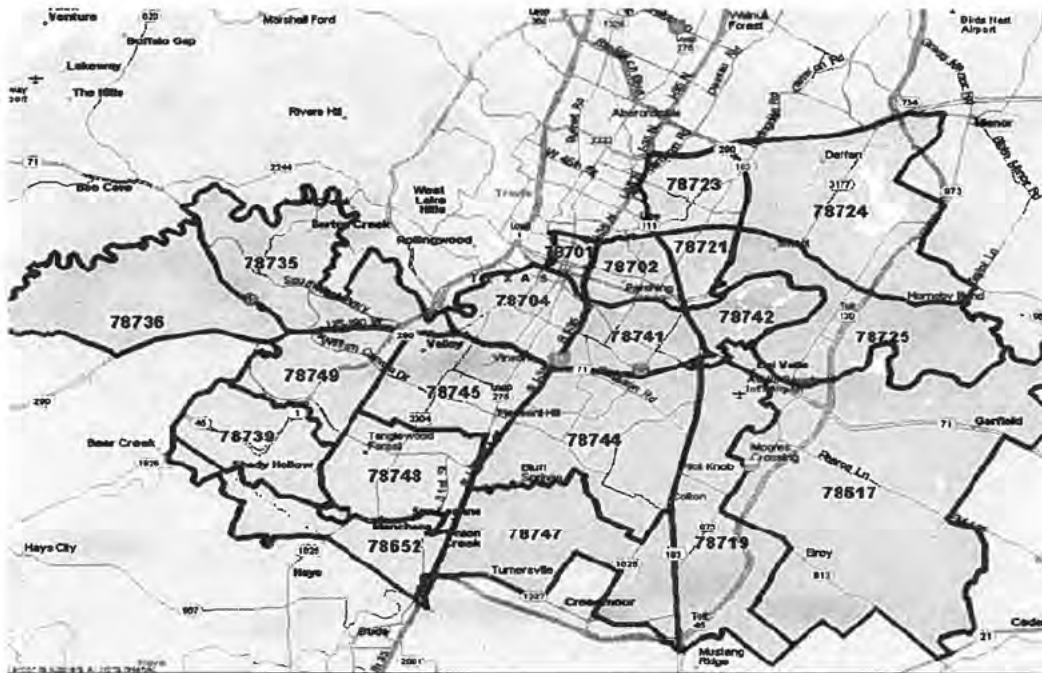
**Targets.** The targets are those who are eligible for: 1) any subsidized program (marketplace subsidy, Medicaid, Medicare, etc. and; 2) non-subsidized individual marketplace. In Travis County there are over 200,000 uninsured. Of this total, 45% are Latino, 37% are White, 10% are Black, and 4% are Asian. The target outreach is **10,000** of currently uninsured Travis County residents between 100% and 250% of the federal poverty level. This enrollment target of **2,500** is based on estimates of applications needing assistance and target population identified and interested.

TARGET POPULATION FOR ENROLLMENT (ACS 2011)	
Uninsured	Travis County
Primary Target Area - 7 Zip Codes + 78753	140,517
# 100% to 250% FPL	68,201
# Eligible for Insurance Marketplace	34,101
<b>Target Population for Consumer Assistance</b>	
Population needing and requesting Outreach and Education and potential enrollment – 30% of eligible for marketplace	<b>10,000</b>

Target Population for Enrollment – 25% of  
population needing consumer assistance

2,500

### TARGET AREA



### Target Areas for Outreach, Education and Enrollment

- 100% to 250% Family Poverty Level (FPL)
- Primary Area – 7 Zip Codes shown in lavender + 78753
- 78617, 78719, 78725, 78741, 78742, 78744, 78747
- 49% of Households <200% of FPL
- Population: 143,000, age 15-44 accounts for 54%
- 67% Latino Population, 10% Black, 2% Asian
- Median Income- \$38,485
- Secondary Data (orange) – 12 zip codes
- Targeting potential population through culturally competent, consumer driven marketing strategies, with multi-faceted campaigns focused at local level
- Outreach tailored to meet needs of different groups of the uninsured, especially those who are hardest to reach, involving representatives from the targeted communities to assure that the message is responsive and culturally competent
- Facilitating outreach and education through public and private partnerships
- Ensuring access to care through person-to-person contacts

### 2. Project Description *(describe specific objectives, and activities to achieve objectives and purpose)*

**Outreach Elements.** LHCF will build on its use of Community Health Worker/Promotores and use them as Outreach and Enrollment Specialists (OES) with their cultural and linguistic competency in working with

“hard to reach” vulnerable populations. The target of LHCF's campaign is the Latino uninsured in select zip codes in Travis County which is upwards of over 100,000 of which at least 30,000 qualify for the insurance marketplace and about 25% require assistance

The LHCF will target potential population through culturally competent, consumer driven marketing strategies, with multi-faceted campaigns with focus at local level through:

- Outreach tailored to meet needs of different groups of the uninsured, especially those who are hardest to reach, involving representatives from the targeted communities to assure that the message is responsive and culturally competent
  - Facilitating outreach and education through public and private partnerships
  - Ensuring access to care through person-to-person contacts
  - Outreach and Education Components:
    - Identify and understand the eligible population
    - Increase public awareness
    - Increase understanding of eligibility
    - Educate individuals about the marketplace
    - Motivate individuals to take action to find out more about, or enroll in, the marketplace
    - Messaging: Always consider the audience: Whom are we trying to reach?
      - Families
      - Young adults
      - Specific racial, ethnic, religious, or cultural groups
      - Consider the best setting where we can engage our target audience and have a conversation about health insurance
      - The best messengers to reach each of those groups
      - Trusted organizations
      - Community members
      - Partner organizations
      - Local health care professionals
- Communication
- Marketing materials
  - Key messaging
  - Advertising
  - Events
  - Flyers/Brochures
  - Fact Sheets/Cards
  - Posters
  - Social Media

**Outreach.** The OES will be divided into two types of activities. The OES group will drive consumers to outreach, education, and enrollment activities and will provide for in-person assistance for enrollment into a qualified health plan.



### Group 1- Community Outreach Network



**Enrollment.** Enrollment will be facilitated by in-person assistance for enrollment into a qualified health plan. OES will be cross-trained to be able to provide outreach, education, and enrollment activities, however, there will be several OES assigned primarily to act as enrollers. Enrollment activities includes helping consumers find out if they qualify for insurance affordability programs, and if they're eligible, helping them choose a plan and enroll. LHCF staff or other individuals associated with the work outlined in this contract will not direct consumers exclusively to any one particular plan.

### Group 2- CHW In-Person Enrollment Assisters



### 3. Deliverables and Payment Schedule

<b>Deliverable</b>	<b>Deliverable Description</b>	<b>Completion Date</b>	<b>Supporting Documentation Required</b>	<b>Payment Amount</b>	<b>% of Total Funding</b>
Hire Personnel	Hire personnel who can perform outreach, education, and enrollment duties	11/31/14	1) Job description used during hiring process  2) List of personnel to perform duties outlined in job description including: name, date of birth and hire date	\$20,000	10%
Train Personnel	Train personnel to complete training requirements for ACA Insurance Marketplace's assistors	11/31/14	Documentation of completion of HHS training programs for assister and enrollment for all personnel performing these functions	\$20,000	10%
Develop campaign materials for "Secure Your Health Campaign"	Prepare communication materials (key messaging, events, flyers/brochures, fact sheets/cards, posters, micro-website, social media	12/31/14	1) Copies of communication materials and micro-web site  2) Brief narrative of plan to distribute communication materials and utilization of micro-website and social media	\$50,000	25%
Conduct outreach for 24 events monthly	Conduct monthly events to provide outreach and education to the targeted uninsured population	11/30/2014, 12/31/14, 1/31/15, 2/28/15	Brief narrative of outreach and education performance monthly report with information including date/time/location of each event, translation services provided, type of collateral materials used, target audience, description of event, number of referrals for enrollment	\$10,000 per month x 4 months  Total \$40,000	20%
Enrollment Assistance	Provide enrollment assistance to target population	11/30/2014, 12/31/14, 1/31/15, 2/28/15	Enrollment report to include number of persons assisted and enrolled	\$10,000 per month x 4 months  Total \$40,000	20%

Summary Report	Quantitative and qualitative report describing the activities performed during the contract period	3/31/15	Summary of all activities including discussion of barriers, opportunities, outputs, and outcomes	\$30,000	15%
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## City of Austin

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CT-9100-14122600186 – Latino HealthCare Forum

This agreement was created by the Health and Human Services Department (HHSD) and is administered and maintained by the same. There is no procurement function other than the creation of the payment vehicle.



PURCHASE ORDER

PO CITY SINGLE

PAGE NO: 1  
REFERENCE NUMBER: CT 9100 14122600186  
P.O DATE: 12/26/14  
PRICE AGREEMENT #:

V Frank Marines Rodriguez  
E V00000916205 A00000063392  
N Latino HealthCare Forum  
D 6601 Felix Ave.  
O  
R Austin TX 78741

S  
H  
I  
P  
  
T  
O

B Health & Human Services Dept  
I  
L ACCOUNTING SERVICES  
L PO BOX 1088  
Austin TX 78767  
T  
O

Requestor: Robert Kingham, 972-5026  
Buyer: See Solicitation, 512-974-2500

The City's standard purchase terms and conditions are hereby incorporated into this order by reference, with the same force and effect as if they were incorporated in full text. The full versions are available at [https://www.austintexas.gov/financeonline/vendor\\_connection/index.cfm#STANDARDBIDDOCUMENTS](https://www.austintexas.gov/financeonline/vendor_connection/index.cfm#STANDARDBIDDOCUMENTS) or call the Purchasing Office at (512) 974-2500. Please include above reference number on all packages, deliveries, and invoices.

Line	Quantity	Unit	Commodity Information / Description (s)										Unit Price	Extended Amount
1			Commodity: 95222 Community Health Improvement Plan for Rundberg Area										0.000000	\$ 75,000.00
	Line	Fund	Dept	Unit	Objt	Actv	Func	Rept	Task	Ord	Prog	Prog Period	Line Amount	
	1	1005	9100	1091	6825								\$ 75,000.00	

Order Total: \$ 75,000.00

VENDOR INSTRUCTIONS:

1. SEND ORIGINAL INVOICE WITH DUPLICATE COPY TO THE CITY DEPARTMENT TO WHICH THE GOOD(S) WERE DELIVERED.

2. SHIPPING INSTRUCTIONS: F.O.B. DESTINATION UNLESS OTHERWISE SPECIFIED.

3. NO FEDERAL OR STATE SALES TAX SHALL BE INCLUDED IN PRICES BILLED. LIMITED SALES TAX #74-6000085.

Erin D'Vincent

Digitally signed by Erin D'Vincent  
DN: cn=Erin D'Vincent, o=City of Austin, ou=Purchasing  
Office, email=erin.dvincent@austintexas.gov, c=US  
Date: 2014.12.26 10:47:39 -06'00'

Authorized Agent for City Manager

By acceptance of this purchase order, you agree to comply with the terms and conditions incorporated herein by reference and made a part of this order.

Date



**ROUTING SLIP FOR  
City of Austin Purchasing**

**TO:** Erin D'Vincent, Buyer, Purchasing

**FROM:** Leslie Boyd, Grant Coordinator, Community Services

**Sender's Telephone:** (512) 972-5036

**DATE SENT:** Thursday, December 11, 2014

**DOCUMENT:** New Social Services contract with Latino Healthcare Forum for the Restore Rundberg program

**REQUESTED ACTION:** Execute new Social Services contract and encumber funds for Latino Healthcare Forum for the Restore Rundberg program

**Vendor Name:** Latino Healthcare Forum

**Contract (Term/Amendment) Amount:** \$75,000.00

**Total Contract Amount:** \$75,000.00

**Vendor Code:** V00000916205

(For EXISTING Contracts Only)>>

**Contract (MA) Number:** TBD

**Annual Contract Term:** 10/1/2014-9/30/2015

**Total Contract Term:** 10/1/2014-9/30/2015

CODE	Fund	Dept	Unit	Object	Grant Program	Program Period	Program Number	Amount
Commodity Line 1	1005	9100	1091	6825				\$75,000

**BUDGETARY AND FISCAL IMPACT/PROGRAM DESCRIPTION:**

The Latino Healthcare Forum will conduct a data-driven community engagement process to support the development of a hybrid community and health center for the Rundberg community through a review of health data, community outreach, and engagement.

**RXQ Text:**

**RX Completed: (Initial/Date)** \_\_\_\_\_

Request to execute a new contract with Latino Healthcare Forum for the period of 10/1/2014-9/30/2015. There are no authorized extension options.

**DO Instructions:**

**DO Completed: (Initial/Date)** \_\_\_\_\_

Request to encumber FY14-15 funds in the amount of \$75,000 for the period of 10/1/2014-9/30/2015

**Amount Encumbered:** \$75,000.00

**Encumbrance Period:** 10/1/2014-9/30/2015

**Documents Attached:** ☒ Debarment/Suspension Forms ☒ Other- Risk Manager approval ☒ RCA/Council Resolution  
☒ Contract/Amendment ☒ Approved Insurance Certificates

**APPROVALS**

**CONTRACT MANAGER:** Leslie Boyd for Robert Kingham *LB*

**DATE:** 12/11/2014

\*(For Contract Execution Only) I acknowledge that I have sent an electronic copy of the Purchasing Routing Slip for the attached contract to the Contract Compliance Unit at HHSDCCU@austintexas.gov

**CS Financial Specialist** *[Signature]*

**DATE:** 12/12/14

**Comments:**

**PROGRAM MANAGER:** *[Signature]*

**DATE:** 12/15/14

**Comments:**

**ASSISTANT DIRECTOR:** *[Signature]*

**DATE:** 12/15/14

**Comments:**

**BUDGET:** *[Signature]*

**DATE:** 12/16/14

**CFO:** *[Signature]*

**DATE:** 12/16/14

**Comments:**

**HHSD DIRECTOR:** Not Applicable

**DATE:**

**Comments:**

**ROUTING INFORMATION**

**Copy to CFO:** ☐ Yes ☒ No

**Call for Pickup Name:**

Leslie Boyd

**Number:** (512) 972-5036

**ADDITIONAL INFORMATION**



# A G E N D A



## Recommendation for Council Action

Austin City Council	Item ID	38237	Agenda Number	47.
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Meeting Date:	12/11/2014	Department:	Health and Human Services
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### Subject

Approve negotiation and execution of a contract with LATINO HEALTHCARE FORUM to conduct a community health assessment and create a Community Health Improvement Plan for the Rundberg area, for a 12-month term beginning on October 1, 2014 and ending on September 30, 2015, for a total contract amount not to exceed \$75,000.

### Amount and Source of Funding

Funding in the amount of \$75,000 is included in the Fiscal Year 2014-15 Operating Budget of the Health and Human Services Department.

### Fiscal Note

A fiscal note is not required.

Purchasing Language:	
Prior Council Action:	On September 9, 2014, Council approved Ordinance No. 20140909-001 adopting the Fiscal Year 2014-2015 Operating Budget.
For More Information:	Stephanie Hayden, Asst. Director, Community Services, 972-5017; Robert Kingham, Manager, 972-5026; Elena Shemilina, Agenda Coordinator, 512-972-5010
Boards and Commission Action:	
MBE / WBE:	
Related Items:	

### Additional Backup Information

**BACKGROUND:** In response to the FY2012 Byrne Criminal Justice Innovation solicitation, the City of Austin selected the persistently distressed Rundberg neighborhood for additional resources in the hope of addressing the considerable challenges that comprise a significant proportion of crime within the immediate area as well as citywide. Austin's Rundberg corridor is defined as: Research Boulevard/Anderson Lane to the south; railroad tracks (just west of Metric) and Lamar to the west; Interstate 35 and Cameron Road to the east; and, Rutland Drive, Braker Lane, Floradale Drive, and Applegate Drive to the north. It encompasses 5.74 square miles, or 2 percent, of the city and is home to 5 percent of the city's population.

Residents in the Rundberg corridor are leading this revitalization effort. Termed *Restore Rundberg*, the project mission is to improve the quality of life, health, safety, education, and well-being of individuals living and working in the Rundberg neighborhood. Restore Rundberg is a partnership between neighborhoods, the community, government, higher education, public safety, researchers, and stakeholder groups. The goal is to develop innovative crime solution and complementary social services. One of the priorities of the Restore Rundberg initiative is the development of a



Hybrid Community and Health Center in the Georgian Acres/North Lamar areas.

The LATINO HEALTHCARE FORUM will conduct a data driven community engagement process to support the development of a hybrid community and health center. The goal is to evaluate the necessity for a Community Health and Wellness Center or additional services through existing health and healthcare facilities for the Rundberg community through a review of health data, outreach and engagement.

Performance Measures, as well as contract exhibits, will be negotiated with the LATINO HEALTHCARE FORUM staff.

Related Departmental Goal: Provision: Social Services – Promote a healthy community by addressing the needs of vulnerable households.



**CONTRACT BETWEEN  
THE CITY OF AUSTIN  
AND  
LATINO HEALTHCARE FORUM  
FOR  
SOCIAL SERVICES (DELIVERABLES CONTRACT)**

*(Restore Rundberg)*

**CONTRACT NO.** CT-9100-14122600186

**CONTRACT AMOUNT: \$75,000**

This Contract is made by and between the City of Austin ("City") acting by and through its Health and Human Services Department ("HHSD"), a home-rule municipality incorporated by the State of Texas, and Latino Healthcare Forum ("Contractor"), a Texas non-profit corporation, having offices at 6601 Felix Ave, Austin, TX 78741.

**SECTION 1. GRANT OF AUTHORITY, SERVICES AND DUTIES**

**1.1 Engagement of the Contractor.** Subject to the general supervision and control of the City and subject to the provisions of the Terms and Conditions contained herein, the Contractor is engaged to provide the services set forth in the Program Work Statement, attached hereto as Exhibit A.1.

**1.2 Responsibilities of the Contractor.** The Contractor shall provide all technical and professional expertise, knowledge, management, and other resources required for accomplishing all aspects of the tasks and associated activities identified in the Program Work Statement. The Contractor shall assure that all Contract provisions are met by the Subcontractor.

**1.3 Responsibilities of the City.** The City's Contract Manager will be responsible for exercising general oversight of the Contractor's activities in completing the Program Work Statement. Specifically, the Contract Manager will represent the City's interests in resolving day-to-day issues that may arise during the term of this Contract, shall participate regularly in conference calls or meetings for status reporting, shall promptly review any written reports submitted by the Contractor, and shall approve all requests for payment for payment, as appropriate. The City's Contract Manager shall give the Contractor timely feedback on the acceptability of progress and task reports.

**1.4 Designation of Key Personnel.** City's Contract Manager for this Contract shall be responsible for oversight and monitoring of Contractor's performance under this Contract.

**1.4.1** City's Contract Manager, Robert Kingham, Manager or designee:

- may meet with Contractor to discuss any operational issues or the status of the services or work to be performed; and

- shall promptly review all written reports submitted by Contractor, determine whether the reports comply with the terms of this Contract, and give Contractor timely feedback on the adequacy of progress and task reports or necessary additional information.

1.4.2 Contractor's Contract Manager, Frank Rodriguez, President and Chief Executive Officer, shall represent the Contractor with regard to performance of this Contract and shall be the designated point of contact for the City's Contract Manager.

1.4.3 If either party replaces its Contract Manager, that party shall promptly send written notice of the change to the other party. The notice shall identify a qualified and competent replacement and provide contact information.

## **SECTION 2. TERM**

2.1 **Term of Contract.** The Contract shall be in effect for a term of twelve (12) months beginning October 1, 2014 and ending September 30, 2015. There are no authorized extension options.

2.1.1 Upon expiration of the initial term or period of extension, the Contractor agrees to hold over under the terms and conditions of this Contract for such a period of time as is reasonably necessary to re-solicit and/or complete the project (not to exceed 120 calendar days unless mutually agreed on in writing).

## **SECTION 3. PROGRAM WORK STATEMENT**

3.1 **Contractor's Obligations.** The Contractor shall fully and timely provide all services described in Exhibit A.1, Program Work Statement in strict accordance with the terms, covenants, and conditions of the Contract and all applicable Federal, State, and local laws, rules, and regulations.

## **SECTION 4. COMPENSATION AND REPORTING**

4.1 **Contract Amount.** The Contractor acknowledges and agrees that, notwithstanding any other provision of this Contract, the maximum amount payable by City under this Contract for the twelve (12) month term shall not exceed the amount approved by City Council, which is **\$75,000** (*Seventy Five Thousand dollars*), for a total Contract amount of \$75,000. Continuation of the Contract beyond the initial twelve (12) months is specifically contingent upon the availability and allocation of funding by City Council.

4.2 **Requests for Payment.**

Payment to the Contractor shall be due thirty (30) calendar days following receipt by City's Contract Manager of Contractor's fully completed "Payment Request" and "Monthly Expenditure Report", using the forms shown at <http://www.ckodm.com/austin/>. The payment request and expenditure report must be submitted to the City's Contract Manager no later than fifteen (15) calendar days following the end of the month covered by the request and expenditure report. **Contractor must provide the City with supporting documentation as described in Exhibit A.1, Program Work Statement for each monthly Payment Request where a contract deliverable is being submitted.**

**The City retains right of final approval of any supporting documentation submitted before a Payment Request is approved for processing. Failure to provide supporting documentation acceptable to the City may result in delay or rejection of the Payment Request. The City reserves the right to modify the required supporting documentation from time to time, as needed.**

4.3 **Payment.**

4.3.1 All proper requests for payment received by the City will be paid within thirty (30) calendar days of the City's receipt of the deliverables or of the invoice, whichever is later. Requests for Payment received without all required information cannot be processed and will be returned to the Contractor.

4.3.2 If payment is not timely made, (per this paragraph), interest shall accrue on the unpaid balance at the lesser of the rate specified in Texas Government Code Section 2251.025 or the



maximum lawful rate; except, if payment is not timely made for a reason for which the City may withhold payment hereunder, interest shall not accrue until ten (10) calendar days after the grounds for withholding payment have been resolved.

4.3.3 The City may withhold or set off the entire payment or part of any payment otherwise due the Contractor to such extent as may be necessary on account of;

4.3.3.1 delivery of unsatisfactory services by the Contractor;

4.3.3.2 third party claims, which are not covered by the insurance which the Contractor is required to provide, are filed or reasonable evidence indicating probable filing of such claims;

4.3.3.3 failure of the Contractor to pay Subcontractors, or for labor, materials or equipment,

4.3.3.4 damage to the property of the City or the City's agents, employees or contractors, which is not covered by insurance required to be provided by the Contractor;

4.3.3.5 reasonable evidence that the Contractor's obligations will not be completed within the time specified in the Contract, and that the unpaid balance would not be adequate to cover actual or liquidated damages for the anticipated delay;

4.3.3.6 failure of the Contractor to submit proper payment requests and expenditure reports with all required attachments and supporting documentation; or

4.3.3.7 failure of the Contractor to comply with any material provision of the Contract.

4.3.4 Notice is hereby given of Article VIII, Section 1 of the Austin City Charter which prohibits the payment of any money to any person, firm or corporation who is in arrears to the City for taxes, and of §2-8-3 of the Austin City Code concerning the right of the City to offset indebtedness owed the City. Payment will be made by check unless the parties mutually agree to payment by electronic transfer of funds.

4.4 **Non-Appropriation.** The awarding or continuation of this Contract is dependent upon the availability of funding. The City's payment obligations are payable only and solely from funds Appropriated and available for this Contract. The absence of Appropriated or other lawfully available funds shall render the Contract null and void to the extent funds are not Appropriated or available and any deliverables delivered but unpaid shall be returned to the Contractor. The City shall provide the Contractor written notice of the failure of the City to make an adequate appropriation for any fiscal year to pay the amounts due under the Contract, or the reduction of any appropriation to an amount insufficient to permit the City to pay its obligations under the Contract. In the event of non or inadequate appropriation of funds, there will be no penalty nor removal fees charged to the City.

4.5 **Final Payment and Close-Out.**

4.5.1 The making and acceptance of final payment will constitute:

4.5.1.1 a waiver of all claims by the City against the Contractor, except claims (1) which have been previously asserted in writing and not yet settled, (2) arising from defective work appearing after final inspection, (3) arising from failure of the Contractor to comply with the Contract or the terms of any warranty specified herein, (4) arising from the Contractor's continuing obligations under the Contract, including but not limited to indemnity and warranty obligations, or (5) arising under the City's right to audit; and

4.5.1.2 a waiver of all claims by the Contractor against the City other than those previously asserted in writing and not yet settled.

4.6 **Financial Terms.**

4.6.1 City agrees to pay Contractor for services rendered under this Contract and to reimburse Contractor according to the payment schedule identified in Exhibit A.1, Program Work Statement.

4.6.2 City's obligation to pay is subject to the timely receipt of complete and accurate reports as set forth in Exhibit A.1, Program Work Statement, and any other deliverable required under this Contract.

4.7.3 Payments to the Contractor will immediately be suspended upon the occasion of any late, incomplete, or inaccurate report, audit, or other required report or deliverable under this Contract, and payments will not be resumed until the Contractor is in full compliance.

4.7.4 City shall not be liable to Contractor for any costs which have been paid under other agreements or from other funds. In addition, City shall not be liable for any costs incurred by Contractor which were: a) incurred prior to the effective date of this Contract, or b) not billed to City within sixty (60) calendar days following termination date of this Contract.

4.7.5 Contractor agrees to refund to City any funds paid under this Contract which City determines have resulted in overpayment to Contractor or which City determines have not been spent by Contractor in accordance with the terms of this Contract. Refunds shall be made by Contractor within thirty (30) calendar days after a written refund request is submitted by City. City may, at its discretion, offset refunds due from any payment due Contractor, and City may also deduct any loss, cost, or expense caused by Contractor from funds otherwise due.

4.7.6 Contractor shall deposit and maintain all funds received under this Contract in either a separate numbered bank account or a general operating account, either of which shall be supported with the maintenance of a separate accounting with a specific chart which reflects specific revenues and expenditures for the monies received under this Contract. The Contractor's accounting system must identify the specific expenditures, or portions of expenditures, against which funds under this Contract are disbursed.

4.7.7 Contractor is required to utilize an online contract management system for billing and reporting in accordance with City guidelines, policies, and procedures. Contractor is responsible for all data entered/edited under its unique username, as well as all required but omitted data.

#### 4.9 **Reports.**

4.9.1 Contractor must submit a fully and accurately completed "Payment Request" and "Monthly Expenditure Report" to the City's Contract Manager using the forms shown at <http://www.ckodm.com/austin/> no later than fifteen (15) calendar days following the end of the month covered by the request and expenditure report. Contractor must provide complete and accurate supporting documentation. Upon receipt and approval by the City of each complete and accurate Payment Request and Monthly Expenditure Report, the City shall process payment to the Contractor of an amount equal to City's payment obligations, subject to deduction for any unallowable costs.

4.9.3 An annual Contract closeout report using the forms shown at <http://www.ckodm.com/austin/> shall be completed by the Contractor and submitted to the City within sixty (60) calendar days following the expiration or termination of this Contract. Any encumbrances of funds incurred prior to the date of termination of this Contract shall be subject to verification by City. Upon termination of this Contract, any unused funds, unobligated funds, rebates, credits, or interest earned on funds received under this Contract shall be returned to the City.

4.9.5 Contractor shall provide other reports required by the City to document the effective and appropriate delivery of services as outlined under this Contract as required by the City.

#### 4.10 **Contractor Policies and Procedures.** Contractor shall maintain written policies and procedures approved by its governing body and shall make copies of all policies and procedures available to the City upon request. At a minimum, written policies shall exist in the following areas: Financial Management; Subcontracting and/or Procurement; Equal Employment Opportunity; Personnel and Personnel Grievance; Nepotism; Non-Discrimination of Clients; Client Grievance; Drug Free Workplace; the Americans With Disabilities Act; and Criminal Background Checks.

#### 4.11 **Monitoring and Evaluation.**

4.11.1 Contractor agrees that the City or its designee may carry out monitoring and evaluation activities to ensure adherence by the Contractor and Subcontractors to the Program Work

Statement, as well as other provisions of this Contract. Contractor shall fully cooperate in any monitoring or review by the City and further agrees to designate a staff member to coordinate monitoring and evaluation activities.

4.11.2 Contractor shall provide City with copies of all evaluation or monitoring reports received from other funding sources during the Contract Term within twenty (20) working days following the receipt of the final report.

4.11.3 Contractor shall keep on file copies of all notices of Board of Directors meetings, Subcommittee or Advisory Board meetings, and copies of minutes of those meetings.

#### **4.12 Financial Audit of Contractor.**

4.12.1 In the event Contractor expends \$750,000 or more in a year in federal awards, Contractor shall have a single or program specific audit conducted in accordance with Chapter 200, Subpart F, of Title 2 of the Code of Federal Regulations as required by the Single Audit Act of 1984, as amended (Single Audit Act), and shall submit to the City a complete set of audited financial statements and the auditor's opinion and management letters in accordance with Chapter 200, Subpart F, of Title 2 of the Code of Federal Regulations and any guidance issued by the federal Office of Management and Budget covering Contractor's fiscal year until the end of the term of this Contract.

4.12.2 If Contractor is not subject to the Single Audit Act, and expends seven hundred fifty thousand dollars (\$750,000) or more during the Contractor's fiscal year, then Contractor shall have a full financial audit performed. If less than seven hundred fifty thousand dollars (\$750,000) is expended, then a financial review is acceptable, pursuant to the requirements of this Contract.

4.12.3 Contractor shall contract with an independent auditor utilizing a Letter of Engagement. The auditor must be a Certified Public Accountant recognized by the regulatory authority of the State of Texas.

4.12.4 Contractor must submit one (1) Board-approved, bound hard copy of a complete financial audit report or financial review, to include the original auditor opinion, within one hundred eighty (180) calendar days of the end of Contractor's fiscal year, unless alternative arrangements are approved in writing by the City. The financial audit report/financial review must include the Management Letter if one was issued by the auditor. Contractor may not submit electronic copies of financial audit reports/financial reviews to the City. Financial audit reports/financial reviews must be provided in hard copy, and either mailed or hand-delivered to the City.

4.12.5 City will contact the independent auditor to verify:

- i. That the auditor completed the financial audit report/financial review received from the Contractor;
- ii. That the auditor presented the financial audit report/financial review to the Contractor's Board of Directors or a committee of the Board, and;
- iii. The date the financial audit report/financial review was presented to the Contractor's Board of Directors or a committee of the Board.

4.12.6 City will contact the Board Chair to verify that the auditor presented the financial audit report/financial review to the Contractor's Board of Directors or a committee of the Board.

- i. Contractor's Board Chair must submit a signed and dated copy of the HHSD Board Certification form to the City as verification.
- ii. In lieu of the Board Certification form, Contractor must submit a signed and copy of the approved Board meeting minutes to the City, indicating the following:
  - a) The Board of Directors, or a committee of the Board, has met with the independent auditor;
  - b) The Board of Directors has authorized and accepted the financial audit report/financial review.



City will deem the financial audit report/financial review incomplete if Contractor fails to submit either the Board Certification form or the Board minutes as required by this section 4.12. Approved and signed Board minutes reflecting acceptance of the financial audit report/financial review will be due to the City within forty-five (45) days after the audit is due to the City. Board minutes regarding approval of the Contractor's financial audit report/financial review will be verified with the Contractor's Board Chair.

4.12.7 The inclusion of any Findings or a Going Concern Uncertainty, as defined by OMB Cir A-133, in a Contractor's audit requires the creation and submission to the City of a corrective action plan formally approved by the Contractor's governing board. The plan must be submitted to the City within 60 days after the audit is due to the City. Failure to submit an adequate plan to the City may result in the immediate suspension of funding. If adequate improvement related to the audit findings is not documented within a reasonable period of time, the City may provide additional technical assistance, refer the Agreement to the City Auditor for analysis, or move to terminate the Agreement as specified in Section 5 of the Agreement.

4.12.8 The expiration or termination of this Contract shall in no way relieve the Contractor of the audit requirement set forth in this Section.

**4.12.9 Right To Audit By Office of City Auditor.**

4.12.9.1 Contractor agrees that the representatives of the Office of the City Auditor, or other authorized representatives of the City, shall have access to, and the right to audit, examine, and copy any and all records of the Contractor related to the performance under this Agreement during normal business hours (Monday – Friday, 8 am – 5 pm). In addition to any other rights of termination or suspension set forth herein, City shall have the right to immediately suspend the Agreement, upon written notice to Contractor, if Contractor fails to cooperate with this audit provision. The Contractor shall retain all such records for a period of five (5) years after the expiration or early termination of this Agreement or until all audit and litigation matters that the City has brought to the attention of the Contractor are resolved, whichever is longer. The Contractor agrees to refund to the City any overpayments disclosed by any such audit.

4.12.9.2 Contractor shall include this audit requirement in any subcontracts entered into in connection with this Agreement.

## **SECTION 5. TERMINATION**

- 5.1 **Right To Assurance.** Whenever one party to the Contract in good faith has reason to question the other party's intent to perform, demand may be made to the other party for written assurance of the intent to perform. In the event that no assurance is given within the time specified after demand is made, the demanding party may treat this failure as an anticipatory repudiation of the Contract.
- 5.2 **Default.** The Contractor shall be in default under the Contract if the Contractor (a) fails to fully, timely and faithfully perform any of its material obligations under the Contract, (b) fails to provide adequate assurance of performance under the "Right to Assurance paragraph herein, (c) becomes insolvent or seeks relief under the bankruptcy laws of the United States or (d) makes a material misrepresentation in Contractor's Offer, or in any report or deliverable required to be submitted by Contractor to the City.
- 5.3 **Termination For Cause.** In the event of a default by the Contractor, the City shall have the right to terminate the Contract for cause, by written notice effective ten (10) calendar days, unless otherwise specified, after the date of such notice, unless the Contractor, within such ten (10) day period, cures such default, or provides evidence sufficient to prove to the City's reasonable satisfaction that such default does not, in fact, exist. The City may place Contractor on probation for a specified period of time within which the Contractor must correct any non-compliance issues. Probation shall not normally

If a Legal Holiday falls on Saturday, it will be observed on the preceding Friday. If a Legal Holiday falls on Sunday, it will be observed on the following Monday.

- 8.25 **Survivability of Obligations.** All provisions of the Contract that impose continuing obligations on the parties, including but not limited to the warranty, indemnity, and confidentiality obligations of the parties, shall survive the expiration or termination of the Contract.
- 8.26 **Non-Suspension or Debarment Certification.** The City is prohibited from contracting with or making prime or sub-awards to parties that are suspended or debarred or whose principals are suspended or debarred from Federal, State, or City of Austin Contracts. By accepting a contract with the City, the Contractor certifies that its firm and its principals are not currently suspended or debarred from doing business with the Federal Government, as indicated by the Exclusions records at SAM.gov, the State of Texas, or the City of Austin.

In witness whereof, the parties have caused duly authorized representatives to execute this Contract on the dates set forth below.

**LATINO HEALTHCARE FORUM**

Signature: [Signature]

Name: FRANK RODRIGUEZ  
Printed Name

Title: Executive Director

Date: 10/30/14

**CITY OF AUSTIN**

Signature: [Signature]

Name: Erin Twincant  
PURCHASING OFFICE

Date: 12-26-14

**EXHIBITS**

**Exhibit A.1 Program Work Statement (Deliverables)**

**Exhibit C – Equal Employment/Fair Housing Office/Non-Discrimination Certification**

**PROGRAM WORK STATEMENT**  
**Social Services Deliverables Contract**

1. Introduction/Overview (*what is the purpose of this contract?*)

**OVERVIEW**

Where we work, eat, and sleep all play a large role in the determination of health outcomes. More than just an individual's action, where they can catch a bus, buy groceries, bring their children to run and play, and more, all can have an impact on the odds of chronic disease, longevity, and quality-of-life. For these reasons, we will take a broader view of data (social determinants of health and health disparities) to review and solutions to propose.

**Latino HealthCare Forum**

The Latino HealthCare Forum (LHCF) is an Austin, Texas based nonprofit organization concerned with reducing racial and ethnic health disparities. We strive to provide vulnerable populations access to comprehensive, culturally competent, quality primary healthcare services. We aim to organize and sustain a powerful consumer voice to ensure that all individuals and communities can influence healthcare decisions.

Our vision is a nation free of disparities in health and healthcare. A core assumption of the Latino HealthCare Forum is that not everyone is born on equal footing. The ideal of equality presumes an equal footing. Equity presumes that we need to provide additional resources to vulnerable populations who have many times experienced a lower quality-of-life through no action of their own, and that providing these additional resources can help to provide the step up needed to reach their desired potential in life.

**Restore Rundberg**

In response to the FY2012 Byrne Criminal Justice Innovation solicitation, the City of Austin selected the persistently distressed Rundberg neighborhood for additional resources in the hope of addressing the considerable challenges that comprise a significant proportion of crime within the immediate area as well as citywide. Termed Restore Rundberg, the program is a partnership between the community, government, researchers, and stakeholder groups. This implementation and research plan provides a detailed overview of the strategies that the City and University intend to roll out over the next few years. In general, the strategies focus on addressing persistent crime, physical and social disorder including substantial population migration and immigration, community engagement (including cultural and linguistic barriers), at-risk youth, and the community's relationship with police.

The Rundberg Revitalization Team acts in an advisory capacity for the Austin Police Department grant staff, with Team meetings providing regular forums for community discussion. The top four priorities for Restore Rundberg are:

1. Revitalization of 4 key properties in the Rundberg area:
  - Sam Rayburn/John Gardner
  - Brownie Drive/Behind Bowling Alley
  - Northgate/Galewood



- Page 2 of 6

## RESTORE RUNDBERG TARGET AREA



2. Project Description *(describe specific objectives, and activities to achieve objectives and purpose)*

**A. Community Assets and Capacity Mapping**

The goal of this approach is to assemble a broad representation of individuals and organizations to clearly assess the needs of the community, as well as the opportunities and the challenges.

This analysis will produce a social “map” of the community. The process begins by identifying leaders in the different sectors of the community including religious, voluntary and civic organizations in the CHWC catchment area. The approach that the LHCF will use is a community leader Influence analysis. It will describe the local power structure and is built on knowledge of the community. A modified type of analysis is an opportunity to assess the positions of power brokers and stakeholders on a given issue. The result is a gauge of levels of support or opposition. Though this is a point in time assessment, it will show where energy can be invested to support the CHWC, where potential support or opposition may come from, and how to strategically involve various stakeholders to problem solve their concerns or opposition.

**B. Community Needs Assessment Review**

The LHCF will review all current needs assessment from agencies such as the City of Austin's Community Health Assessment and Central Health's patient data for the Rundberg area. Other data will be reviewed such as hospital data, health provider data, health Medicaid HMO data, and School district data. Based on this review, the LHCF will identify:

- Trends and emerging concerns
- Look for areas of improvement and areas that have worsened
- Analysis of the data: What does it mean? What do the trends imply? What are the implications for health?

The LHCF Technical Advisors composed of medical and health professionals for confirmation will review the data.

**C. Interviews with community leaders**

Interview Focus:

- To develop a deeper understanding about the forces/institutions that helped and hindered the geographic area in reaching its present health and healthcare state
- To assess how health care delivery improvements will benefit the community
- To explore and confirm prior documentation and priorities for action

Target Audience:

- University/research institutional leaders providing health/healthcare research in the area
- Nonprofit organizations providing health related services to the area
- Business service provider/advisors
- Community based organizations

**Target Number:**

- 20 interviews

**D. Focus Groups**

The goal of the project is to gain an insight into the health care perceptions and behaviors of the consumers living in designated areas that might be served by the CHWC and to understand their views and opinions of health care facilities, providers and the availability/access to care in their area.

The approach of this qualitative study is to gather direct feedback on the views and opinions on issues related to the needs, wants and availability/accessibly regarding health care from consumers/residents of potential CHWC service area.

**E. Community Forum**

The purpose of the community forum is to engage the community in the development of health services. One community forum will be conducted. The meeting will provide an opportunity for the consultant team to present the philosophy by which the CHWC will be created and the development of the CHWC. The consultant team will present the principles of “patient-centered design”. These principles for example will include: 1) respect for privacy; 2) facilitation of communication, collaboration and trust; 3) patient and family participation; 4) patient empowerment; 5) safety and security; 6) accessible accommodations; 7) comfortable environment; 8) healing facilitation; 9) support for community goals through design; 10) access to care; and 11) integrated service delivery efficiency.

**Desired Outcomes of the Community Forum:**

- Attendees agreeing on policy/practice actions to pursue
- Identify agenda items for follow up
- Involve stakeholders who are concerned about these issues
- Identify champions for health

**F. Social Media**

In the context of this project, there is opportunity to reach and involve the community through social media channels regarding the design and potential health benefits provided through the CHWC. The LCHF has had great success in using media communications with stakeholders in the potential service area for Central Health's Southeast Health and Wellness Center. The LCHF has developed social media communications with the leadership and participation of community members that promote overall project activities through multiple media channels and features. These communications have been in Spanish and English and have involved various organizations and involved decision-makers and gatekeepers. The LCHF established a website and blog with videos co-produced by stakeholders and the LCHF to promote preventive health service utilization, consumer choices and family/individual behaviors to reduce risk of chronic disease.

**G. Data and Community-Driven Plan for Success**

We will seek out recommendations of culturally competent, linguistically inclusive ways of



promoting health and wellness that will be appropriate for this area. We believe that an evidence-based health promotion practices paired with a robust community engagement will not only increase the likelihood of the community's adoption, but also provide the stake needed for community ownership of it's own role to play in promoting their community's health.

The results of the Comprehensive Community Health Data Review and the Data and Community Driven Plan for Success will be organized in a synthesized format and delivered in a formal report. Findings will be written up in a narrative format that includes a summary, major findings, conclusions, and recommendations.

**DESIRED PROJECT OUTCOMES:**

- Community members to identify areas of health priorities
- Quantitative data review to identify areas of health needs
- Attendees agreeing on policy/practice actions to pursue
- Identify agenda items for follow up
- Involve stakeholders who are concerned about these issues
- Identify community champions for health

**3. Deliverables and Payment Schedule**

<b>Task</b>	<b>Deliverable Description</b>	<b>Completion Date</b>	<b>Supporting Documentation Required</b>	<b>Payment Amount</b>	<b>% Of Total Funding</b>
Community Assets and Capacity Mapping	Community leader analysis of concerns, issues, and possible interventions	1/31/15	Interview guide and list with description of individuals interviewed including date of interview	\$6,750	9%
Community Needs Assessment	Data review of health and healthcare to determine trends and emerging concerns	2/28/15	Documentation of findings and 10 most important community health issues	\$20,250	27%
Interviews with community leaders	20 interviews with target audience referenced in Section 2C	2/28/15	Interview guide and list with description of individuals interviewed including date of interview	\$6,750	9%

Focus Groups	Four focus groups to gain insight into health and health care perceptions and behaviors of consumers	3/31/15	Discussion guide and narrative summary of focus groups findings including date of focus group and number of participants	\$10,500	14%
Community Forum	One community forum to engage the community on data and focus group findings	3/31/15	Agenda and narrative summary of Community Forum including date, time, and number of participants	\$9,750	13%
Social Media	Development of a community based blog that provides communication about future plans to improve the community's health	The last day of each month beginning on 1/31/15	Monthly summary of blog content	\$1,200/month for 5 months Total \$6,000	8%
Community Driven Plan	Comprehensive community health data review and community driven plan	5/31/15	Formal report organized in a synthesized format and delivered in a formal report to HHSD Leadership at a meeting date/time TBD	\$15,000	20%



## City of Austin

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MA 9100 NG150000052 – Latino HealthCare Forum

This agreement was created by the Health and Human Service Department (HHSD) and is administered and maintained by same. There is no procurement function other than the creation of the payment vehicle.

**ROUTING SLIP FOR  
City of Austin Purchasing**

TO: Claudia Rodriguez, Buyer, Purchasing

FROM: Leslie Boyd, Grant Coordinator, Community Services

Sender's Telephone: (512) 972-5036

DATE SENT: Wednesday, February 11, 2015

DOCUMENT: New Social Services contract with Latino Healthcare Forum for the E. Austin Community Health & Wellness Ctr Corr

REQUESTED ACTION: Execute new Social Services contract and encumber funds for Latino Healthcare Forum for the E. Austin Community Health & Wellness Ctr Community Engagement program

Vendor Name: Latino Healthcare Forum

Contract (Term/Amendment) Amount: \$25,700.00

Total Contract Amount: \$25,700.00

Vendor Code: V00000916205

(For EXISTING Contracts Only)>>

Contract (MA) Number: TBD

Annual Contract Term: 2/15/2015-9/30/2015

Total Contract Term: 2/15/2015-9/30/2015

CODE	Fund	Dept	Unit	Object	Grant Program	Program Period	Program Number	Amount
Commodity Line 1	1000	4700	6491	6825				\$25,700

**BUDGETARY AND FISCAL IMPACT/PROGRAM DESCRIPTION:**

The Latino Healthcare Forum will conduct a community engagement process to assess health needs and build support for Huston-Tillotson's Health and Wellness Center through outreach and engagement.

RXQ Text:

RX Completed: (Initial/Date)

Request to execute a new contract with Latino Healthcare Forum for the period of 2/15/2015-9/30/2015. There are no authorized extension options.

DO Instructions:

DO Completed: (Initial/Date)

Request to encumber FY14-15 funds in the amount of \$25,700 for the period of 2/15/2015-9/30/2015

Amount Encumbered: \$25,700.00

Encumbrance Period: 2/15/2015-9/30/2015

Documents Attached: ☒ Debarment/Suspension Forms ☒ Other- Risk Manager approval ☐ RCA/Council Resolution  
☒ Contract/Amendment ☒ Approved Insurance Certificates

**APPROVALS**

CONTRACT MANAGER: Leslie Boyd for Robert Kingham *LB*

DATE: 2/11/2015

\*(For Contract Execution Only) I acknowledge that I have sent an electronic copy of the Purchasing Routing Slip for the attached contract to the Contract Compliance Unit at HHSDCCU@austintexas.gov

CS Financial Specialist

*Leslie Boyd for Glenn Selpe*

DATE:

*2-11-15*

Comments:

PROGRAM MANAGER:

*MO Ki*

DATE:

*2/12/15*

Comments:

ASSISTANT DIRECTOR:

*Shay*

DATE:

*02/18/15*

Comments:

BUDGET:

*Meddle*

DATE:

*2/19/15*

CFO:

Comments:

DATE:

*2/24/15*

HHSD DIRECTOR: *Not Applicable*

Comments:

DATE:

**ROUTING INFORMATION**

Copy to CFO: ☐ Yes ☒ No

Call for Pickup Name:

Leslie Boyd

Number: (512) 972-5036

**ADDITIONAL INFORMATION**

This is an Administrative contract. No RCA required





**CONTRACT BETWEEN  
THE CITY OF AUSTIN  
AND  
LATINO HEALTHCARE FORUM  
FOR**

**SOCIAL SERVICES (DELIVERABLES CONTRACT)**

*(East Austin Community Health & Wellness Center  
Community Engagement)*

**CONTRACT NO. 4100-N6150000052**

**CONTRACT AMOUNT: \$25,700**

This Contract is made by and between the City of Austin ("City") acting by and through its Health and Human Services Department ("HHSD"), a home-rule municipality incorporated by the State of Texas, and Latino Healthcare Forum ("Contractor"), a Texas non-profit corporation, having offices at 6601 Felix Ave, Austin, TX 78741.

**SECTION 1. GRANT OF AUTHORITY, SERVICES AND DUTIES**

1.1 **Engagement of the Contractor.** Subject to the general supervision and control of the City and subject to the provisions of the Terms and Conditions contained herein, the Contractor is engaged to provide the services set forth in the Program Work Statement, attached hereto as Exhibit A.1.

1.2 **Responsibilities of the Contractor.** The Contractor shall provide all technical and professional expertise, knowledge, management, and other resources required for accomplishing all aspects of the tasks and associated activities identified in the Program Work Statement. The Contractor shall assure that all Contract provisions are met by the Subcontractor.

1.3 **Responsibilities of the City.** The City's Contract Manager will be responsible for exercising general oversight of the Contractor's activities in completing the Program Work Statement. Specifically, the Contract Manager will represent the City's interests in resolving day-to-day issues that may arise during the term of this Contract, shall participate regularly in conference calls or meetings for status reporting, shall promptly review any written reports submitted by the Contractor, and shall approve all requests for payment for payment, as appropriate. The City's Contract Manager shall give the Contractor timely feedback on the acceptability of progress and task reports.

1.4 **Designation of Key Personnel.** City's Contract Manager for this Contract shall be responsible for oversight and monitoring of Contractor's performance under this Contract.

1.4.1 City's Contract Manager, Robert Kingham, Manager or designee:

- may meet with Contractor to discuss any operational issues or the status of the services or work to be performed; and

- shall promptly review all written reports submitted by Contractor, determine whether the reports comply with the terms of this Contract, and give Contractor timely feedback on the adequacy of progress and task reports or necessary additional information.

1.4.2 Contractor's Contract Manager, Frank Rodriguez, President and Chief Executive Officer, shall represent the Contractor with regard to performance of this Contract and shall be the designated point of contact for the City's Contract Manager.

1.4.3 If either party replaces its Contract Manager, that party shall promptly send written notice of the change to the other party. The notice shall identify a qualified and competent replacement and provide contact information.

## **SECTION 2. TERM**

2.1 **Term of Contract.** The Contract shall be in effect for a term of six and one-half (6½ ) months beginning February 15, 2015, and ending September 30, 2015. There are no authorized extension options.

2.1.1 Upon expiration of the initial term or period of extension, the Contractor agrees to hold over under the terms and conditions of this Contract for such a period of time as is reasonably necessary to re-solicit and/or complete the project (not to exceed 120 calendar days unless mutually agreed on in writing).

## **SECTION 3. PROGRAM WORK STATEMENT**

3.1 **Contractor's Obligations.** The Contractor shall fully and timely provide all services described in Exhibit A.1, Program Work Statement in strict accordance with the terms, covenants, and conditions of the Contract and all applicable Federal, State, and local laws, rules, and regulations.

## **SECTION 4. COMPENSATION AND REPORTING**

4.1 **Contract Amount.** The Contractor acknowledges and agrees that, notwithstanding any other provision of this Contract, the maximum amount payable by City under this Contract for the six and one-half (6½ ) month term shall not exceed the amount approved by City Council, which is **\$25,700 (Twenty Five Thousand Seven Hundred dollars)**, for a total Contract amount of \$25,700. Continuation of the Contract beyond the initial six and one-half (6½ ) months is specifically contingent upon the availability and allocation of funding by City Council.

4.2 **Requests for Payment.**

Payment to the Contractor shall be due thirty (30) calendar days following receipt by City's Contract Manager of Contractor's fully completed "Payment Request" and "Monthly Expenditure Report", using the forms shown at <http://www.ckodm.com/austin/>. The payment request and expenditure report must be submitted to the City's Contract Manager no later than fifteen (15) calendar days following the end of the month covered by the request and expenditure report. **Contractor must provide the City with supporting documentation as described in Exhibit A.1, Program Work Statement for each monthly Payment Request where a contract deliverable is being submitted.**

**The City retains right of final approval of any supporting documentation submitted before a Payment Request is approved for processing. Failure to provide supporting documentation acceptable to the City may result in delay or rejection of the Payment Request. The City reserves the right to modify the required supporting documentation from time to time, as needed.**

4.3 **Payment.**

4.3.1 All proper requests for payment received by the City will be paid within thirty (30) calendar days of the City's receipt of the deliverables or of the invoice, whichever is later. Requests for Payment received without all required information cannot be processed and will be returned to the Contractor.



4.3.2 If payment is not timely made, (per this paragraph), interest shall accrue on the unpaid balance at the lesser of the rate specified in Texas Government Code Section 2251.025 or the maximum lawful rate; except, if payment is not timely made for a reason for which the City may withhold payment hereunder, interest shall not accrue until ten (10) calendar days after the grounds for withholding payment have been resolved.

4.3.3 The City may withhold or set off the entire payment or part of any payment otherwise due the Contractor to such extent as may be necessary on account of;

4.3.3.1 delivery of unsatisfactory services by the Contractor;

4.3.3.2 third party claims, which are not covered by the insurance which the Contractor is required to provide, are filed or reasonable evidence indicating probable filing of such claims;

4.3.3.3 failure of the Contractor to pay Subcontractors, or for labor, materials or equipment,

4.3.3.4 damage to the property of the City or the City's agents, employees or contractors, which is not covered by insurance required to be provided by the Contractor;

4.3.3.5 reasonable evidence that the Contractor's obligations will not be completed within the time specified in the Contract, and that the unpaid balance would not be adequate to cover actual or liquidated damages for the anticipated delay;

4.3.3.6 failure of the Contractor to submit proper payment requests and expenditure reports with all required attachments and supporting documentation; or

4.3.3.7 failure of the Contractor to comply with any material provision of the Contract.

4.3.4 Notice is hereby given of Article VIII, Section 1 of the Austin City Charter which prohibits the payment of any money to any person, firm or corporation who is in arrears to the City for taxes, and of §2-8-3 of the Austin City Code concerning the right of the City to offset indebtedness owed the City. Payment will be made by check unless the parties mutually agree to payment by electronic transfer of funds.

4.4 **Non-Appropriation.** The awarding or continuation of this Contract is dependent upon the availability of funding. The City's payment obligations are payable only and solely from funds Appropriated and available for this Contract. The absence of Appropriated or other lawfully available funds shall render the Contract null and void to the extent funds are not Appropriated or available and any deliverables delivered but unpaid shall be returned to the Contractor. The City shall provide the Contractor written notice of the failure of the City to make an adequate appropriation for any fiscal year to pay the amounts due under the Contract, or the reduction of any appropriation to an amount insufficient to permit the City to pay its obligations under the Contract. In the event of non or inadequate appropriation of funds, there will be no penalty nor removal fees charged to the City.

4.5 **Final Payment and Close-Out.**

4.5.1 The making and acceptance of final payment will constitute:

4.5.1.1 a waiver of all claims by the City against the Contractor, except claims (1) which have been previously asserted in writing and not yet settled, (2) arising from defective work appearing after final inspection, (3) arising from failure of the Contractor to comply with the Contract or the terms of any warranty specified herein, (4) arising from the Contractor's continuing obligations under the Contract, including but not limited to indemnity and warranty obligations, or (5) arising under the City's right to audit; and

4.5.1.2 a waiver of all claims by the Contractor against the City other than those previously asserted in writing and not yet settled.

4.6 **Financial Terms.**

4.6.1 City agrees to pay Contractor for services rendered under this Contract and to reimburse Contractor according to the payment schedule identified in Exhibit A.1, Program Work Statement.

4.6.2 City's obligation to pay is subject to the timely receipt of complete and accurate reports as set forth in Exhibit A.1, Program Work Statement, and any other deliverable required under this Contract.

4.7.3 Payments to the Contractor will immediately be suspended upon the occasion of any late, incomplete, or inaccurate report, audit, or other required report or deliverable under this Contract, and payments will not be resumed until the Contractor is in full compliance.

4.7.4 City shall not be liable to Contractor for any costs which have been paid under other agreements or from other funds. In addition, City shall not be liable for any costs incurred by Contractor which were: a) incurred prior to the effective date of this Contract, or b) not billed to City within sixty (60) calendar days following termination date of this Contract.

4.7.5 Contractor agrees to refund to City any funds paid under this Contract which City determines have resulted in overpayment to Contractor or which City determines have not been spent by Contractor in accordance with the terms of this Contract. Refunds shall be made by Contractor within thirty (30) calendar days after a written refund request is submitted by City. City may, at its discretion, offset refunds due from any payment due Contractor, and City may also deduct any loss, cost, or expense caused by Contractor from funds otherwise due.

4.7.6 Contractor shall deposit and maintain all funds received under this Contract in either a separate numbered bank account or a general operating account, either of which shall be supported with the maintenance of a separate accounting with a specific chart which reflects specific revenues and expenditures for the monies received under this Contract. The Contractor's accounting system must identify the specific expenditures, or portions of expenditures, against which funds under this Contract are disbursed.

4.7.7 Contractor is required to utilize an online contract management system for billing and reporting in accordance with City guidelines, policies, and procedures. Contractor is responsible for all data entered/edited under its unique username, as well as all required but omitted data.

#### 4.9 **Reports.**

4.9.1 Contractor must submit a fully and accurately completed "Payment Request" and "Monthly Expenditure Report" to the City's Contract Manager using the forms shown at <http://www.ckodm.com/austin/> no later than fifteen (15) calendar days following the end of the month covered by the request and expenditure report. Contractor must provide complete and accurate supporting documentation. Upon receipt and approval by the City of each complete and accurate Payment Request and Monthly Expenditure Report, the City shall process payment to the Contractor of an amount equal to City's payment obligations, subject to deduction for any unallowable costs.

4.9.3 An annual Contract closeout report using the forms shown at <http://www.ckodm.com/austin/> shall be completed by the Contractor and submitted to the City within sixty (60) calendar days following the expiration or termination of this Contract. Any encumbrances of funds incurred prior to the date of termination of this Contract shall be subject to verification by City. Upon termination of this Contract, any unused funds, unobligated funds, rebates, credits, or interest earned on funds received under this Contract shall be returned to the City.

4.9.5 Contractor shall provide other reports required by the City to document the effective and appropriate delivery of services as outlined under this Contract as required by the City.

#### 4.10 **Contractor Policies and Procedures.** Contractor shall maintain written policies and procedures approved by its governing body and shall make copies of all policies and procedures available to the City upon request. At a minimum, written policies shall exist in the following areas: Financial Management; Subcontracting and/or Procurement; Equal Employment Opportunity; Personnel and Personnel Grievance; Nepotism; Non-Discrimination of Clients; Client Grievance; Drug Free Workplace; the Americans With Disabilities Act; and Criminal Background Checks.

#### **4.11 Monitoring and Evaluation.**

4.11.1 Contractor agrees that the City or its designee may carry out monitoring and evaluation activities to ensure adherence by the Contractor and Subcontractors to the Program Work Statement, as well as other provisions of this Contract. Contractor shall fully cooperate in any monitoring or review by the City and further agrees to designate a staff member to coordinate monitoring and evaluation activities.

4.11.2 Contractor shall provide City with copies of all evaluation or monitoring reports received from other funding sources during the Contract Term within twenty (20) working days following the receipt of the final report.

4.11.3 Contractor shall keep on file copies of all notices of Board of Directors meetings, Subcommittee or Advisory Board meetings, and copies of minutes of those meetings.

#### **4.12 Financial Audit of Contractor.**

4.12.1 In the event Contractor expends \$750,000 or more in a year in federal awards, Contractor shall have a single or program specific audit conducted in accordance with Chapter 200, Subpart F, of Title 2 of the Code of Federal Regulations as required by the Single Audit Act of 1984, as amended (Single Audit Act), and shall submit to the City a complete set of audited financial statements and the auditor's opinion and management letters in accordance with Chapter 200, Subpart F, of Title 2 of the Code of Federal Regulations and any guidance issued by the federal Office of Management and Budget covering Contractor's fiscal year until the end of the term of this Contract.

4.12.2 If Contractor is not subject to the Single Audit Act, and expends seven hundred fifty thousand dollars (\$750,000) or more during the Contractor's fiscal year, then Contractor shall have a full financial audit performed. If less than seven hundred fifty thousand dollars (\$750,000) is expended, then a financial review is acceptable, pursuant to the requirements of this Contract.

4.12.3 Contractor shall contract with an independent auditor utilizing a Letter of Engagement. The auditor must be a Certified Public Accountant recognized by the regulatory authority of the State of Texas.

4.12.4 Contractor must submit one (1) Board-approved, bound hard copy of a complete financial audit report or financial review, to include the original auditor opinion, within one hundred eighty (180) calendar days of the end of Contractor's fiscal year, unless alternative arrangements are approved in writing by the City. The financial audit report/financial review must include the Management Letter if one was issued by the auditor. Contractor may not submit electronic copies of financial audit reports/financial reviews to the City. Financial audit reports/financial reviews must be provided in hard copy, and either mailed or hand-delivered to the City.

4.12.5 City will contact the independent auditor to verify:

- i. That the auditor completed the financial audit report/financial review received from the Contractor;
- ii. That the auditor presented the financial audit report/financial review to the Contractor's Board of Directors or a committee of the Board, and;
- iii. The date the financial audit report/financial review was presented to the Contractor's Board of Directors or a committee of the Board.

4.12.6 City will contact the Board Chair to verify that the auditor presented the financial audit report/financial review to the Contractor's Board of Directors or a committee of the Board.

- i. Contractor's Board Chair must submit a signed and dated copy of the HHSD Board Certification form to the City as verification.
- ii. In lieu of the Board Certification form, Contractor must submit a signed and copy of the approved Board meeting minutes to the City, indicating the following:



- a) The Board of Directors, or a committee of the Board, has met with the independent auditor;
- b) The Board of Directors has authorized and accepted the financial audit report/financial review.

City will deem the financial audit report/financial review incomplete if Contractor fails to submit either the Board Certification form or the Board minutes as required by this section 4.12. Approved and signed Board minutes reflecting acceptance of the financial audit report/financial review will be due to the City within forty-five (45) days after the audit is due to the City. Board minutes regarding approval of the Contractor's financial audit report/financial review will be verified with the Contractor's Board Chair.

4.12.7 The inclusion of any Findings or a Going Concern Uncertainty, as defined by OMB Cir A-133, in a Contractor's audit requires the creation and submission to the City of a corrective action plan formally approved by the Contractor's governing board. The plan must be submitted to the City within 60 days after the audit is due to the City. Failure to submit an adequate plan to the City may result in the immediate suspension of funding. If adequate improvement related to the audit findings is not documented within a reasonable period of time, the City may provide additional technical assistance, refer the Agreement to the City Auditor for analysis, or move to terminate the Agreement as specified in Section 5 of the Agreement.

4.12.8 The expiration or termination of this Contract shall in no way relieve the Contractor of the audit requirement set forth in this Section.

#### 4.12.9 **Right To Audit By Office of City Auditor.**

4.12.9.1 Contractor agrees that the representatives of the Office of the City Auditor, or other authorized representatives of the City, shall have access to, and the right to audit, examine, and copy any and all records of the Contractor related to the performance under this Agreement during normal business hours (Monday – Friday, 8 am – 5 pm). In addition to any other rights of termination or suspension set forth herein, City shall have the right to immediately suspend the Agreement, upon written notice to Contractor, if Contractor fails to cooperate with this audit provision. The Contractor shall retain all such records for a period of five (5) years after the expiration or early termination of this Agreement or until all audit and litigation matters that the City has brought to the attention of the Contractor are resolved, whichever is longer. The Contractor agrees to refund to the City any overpayments disclosed by any such audit.

4.12.9.2 Contractor shall include this audit requirement in any subcontracts entered into in connection with this Agreement.

## SECTION 5. TERMINATION

- 5.1 **Right To Assurance.** Whenever one party to the Contract in good faith has reason to question the other party's intent to perform, demand may be made to the other party for written assurance of the intent to perform. In the event that no assurance is given within the time specified after demand is made, the demanding party may treat this failure as an anticipatory repudiation of the Contract.
- 5.2 **Default.** The Contractor shall be in default under the Contract if the Contractor (a) fails to fully, timely and faithfully perform any of its material obligations under the Contract, (b) fails to provide adequate assurance of performance under the "Right to Assurance paragraph herein, (c) becomes insolvent or seeks relief under the bankruptcy laws of the United States or (d) makes a material misrepresentation in Contractor's Offer, or in any report or deliverable required to be submitted by Contractor to the City.
- 5.3 **Termination For Cause.** In the event of a default by the Contractor, the City shall have the right to terminate the Contract for cause, by written notice effective ten (10) calendar days, unless otherwise

Christmas Day

December 25

If a Legal Holiday falls on Saturday, it will be observed on the preceding Friday. If a Legal Holiday falls on Sunday, it will be observed on the following Monday.

8.25 **Survivability of Obligations.** All provisions of the Contract that impose continuing obligations on the parties, including but not limited to the warranty, indemnity, and confidentiality obligations of the parties, shall survive the expiration or termination of the Contract.

8.26 **Non-Suspension or Debarment Certification.** The City is prohibited from contracting with or making prime or sub-awards to parties that are suspended or debarred or whose principals are suspended or debarred from Federal, State, or City of Austin Contracts. By accepting a contract with the City, the Contractor certifies that its firm and its principals are not currently suspended or debarred from doing business with the Federal Government, as indicated by the Exclusions records at SAM.gov, the State of Texas, or the City of Austin.

In witness whereof, the parties have caused duly authorized representatives to execute this Contract on the dates set forth below.

**LATINO HEALTHCARE FORUM**

Signature: \_\_\_\_\_

Name: \_\_\_\_\_

Printed Name

Title: \_\_\_\_\_

Date: \_\_\_\_\_

**CITY OF AUSTIN**

Signature: \_\_\_\_\_

Name: \_\_\_\_\_

PURCHASING OFFICE

Date: \_\_\_\_\_

**EXHIBITS**

**Exhibit A.1 Program Work Statement (Deliverables)**

**Exhibit C – Equal Employment/Fair Housing Office/Non-Discrimination Certification**

## **PROGRAM WORK STATEMENT**

### **Social Services Deliverables Contract**

#### **1. Introduction/Overview (*what is the purpose of this contract?*)**

##### **OVERVIEW**

Huston-Tillotson University is proposing a Community Health and Wellness Center (HTHWC) to be located on the Huston-Tillotson campus. The proposed HTHWC will provide clinical, mental, and behavioral health services. Huston-Tillotson University believes that health disparities must be addressed for vulnerable population mental and behavioral health issues through improved access.

Huston-Tillotson University is advancing a two-phase approach to building a state-of-the-art Community Health and Wellness Center that will comprise specialized health care services and programs and initiatives aimed at addressing East and Northeast Austin mental health needs.

Phase I involves laying the foundation. This Phase will entail the facilitation of strategic planning, assessments, and focus groups aimed at gathering relevant information from a diverse group of stakeholders from across Austin. This phase will result in the placement of a temporary facility that will house services along with support from Central Health and CommunityCare (a Federally Qualified Health Clinic), Austin Travis County Integral Care (ATCIC) and Huston-Tillotson University's site-based research initiatives. Phase II consists of building a \$35 million permanent facility on the southwest corner of the Huston-Tillotson University campus at 7th Street and Chalmers Avenue. Huston-Tillotson expects to also collaborate with the new UT Dell Medical School and other health related institutions. Huston-Tillotson will also consider public-private partnerships (P3) that could include funding and operations through a partnership of Huston-Tillotson, public agencies, and private sector companies.

The Latino HealthCare Forum proposes a scope of work that primarily supports Phase I and implements up a community engagement process. The goal is to assess health needs and build support for Huston-Tillotson's Health and Wellness Center through outreach and engagement. There are two primary stakeholder groups – the University community and the broader community that incorporates several Austin Northeast and East zip codes. The LHCF will use its trained and State Health Services certified Community Health Workers (CHWs)/Promotores to assist with the various outreach and engagement tasks. CHWs are community-based front line health workers recruited from the area that are culturally and linguistically competent. The LHCF will have offer a diverse workforce composed of African American, Latino, and Asian community health workers. The LHCF has successfully worked with Central Health on the development of the Southeast Health and Wellness Center using this approach. Based on this experience, the LHCF will incorporate similar outreach strategies.

##### **Latino HealthCare Forum**

The Latino HealthCare Forum (LHCF) is an Austin, Texas based 501c3 nonprofit organization concerned with reducing racial and ethnic health disparities. The LHCF strives to provide vulnerable populations access to comprehensive, culturally competent, quality primary healthcare services. The LCHF aims to organize and sustain a powerful consumer voice to ensure that all individuals and communities can influence healthcare decisions.



The LHCF vision is a nation free of disparities in health and healthcare. A core assumption of the Latino HealthCare Forum is that not everyone is born on equal footing. The ideal of equality presumes an equal footing. Equity presumes that we need to provide additional resources to vulnerable populations who have many times experienced a lower quality-of-life through no action of their own, and that providing these additional resources can help to provide the step up needed to reach their desired potential in life.

### **HUSTON-TILLOTSON TARGET AREA**

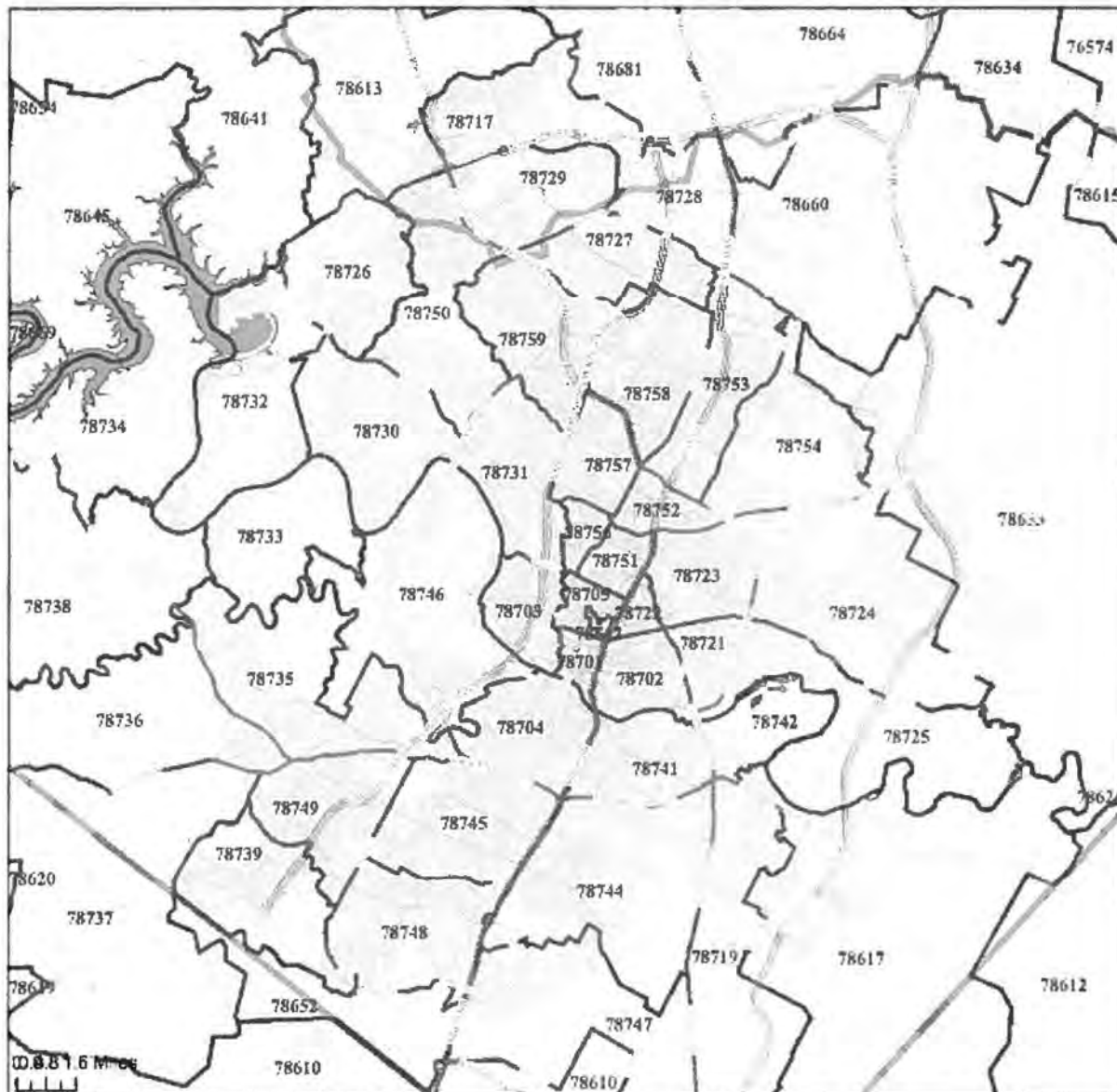
The target area will include zip codes that contain the potential service population for the HT Health and Wellness Center. Huston-Tillotson is located in zip code 78702. The potential service area will be determined through a data driven process and a qualitative process to determine the need for health services and service gaps. The LHCF will undertake the qualitative process through the outreach and engagement services in its scope of work. The zip codes generally will include:

- 78702
- 78721
- 78723
- 78724
- 78754
- 78753

The overall area exhibits the following population and housing:

<b>Population</b>	<b>2010</b>	<b>Percentages</b>
Total	77,807	100%
Anglo	18,125	23.3%
African-American	21,934	28.2%
Hispanic-Latino	33,650	43.2%
Asian	2,586	3.3%
Other	1,512	1.9%
<b>Housing Units</b>		
Occupied Units	30,876	
Vacant Units	27,652	
Owner Occupied	13,576	44.0%
Renter Occupied	14,076	45.6%

CommunityCare, Seton, and Carousel clinics, St. John's Wellness Center, and faith based support services currently serve the health needs of the area. The Peoples Community Clinic is planning a new clinic to be located in Northeast Austin.



2. Project Description (*describe specific objectives, and activities to achieve objectives and purpose*)

**A. Community Assets and Capacity Mapping**

The goal of this approach is to assemble a broad representation of individuals and organizations to clearly assess the needs of the community, as well as the opportunities and the challenges.

This analysis will produce a social “map” of the community. The process begins by identifying leaders in the different sectors of the community including religious, voluntary and civic organizations in the CHWC catchment area. The approach that the LHCF will use is a community leader Influence analysis. It will describe the local power structure and is built on

knowledge of the community. A modified type of analysis is an opportunity to assess the positions of power brokers and stakeholders on a given issue. The result is a gauge of levels of support or opposition. Though this is a point in time assessment, it will show where energy can be invested to support the HTHWC, where potential support or opposition may come from, and how to strategically involve various stakeholders to problem solve their concerns or opposition.

## **B. Community Needs Assessment Review**

The LHCF will review all current needs assessment information from agencies such as the City of Austin's Community Health Assessment and other secondary survey data from other public agencies. Other data will be reviewed such as hospital data, health provider data, health Medicaid HMO data, and School district data. Based on this review, the LHCF will identify:

- Trends and emerging concerns
- Areas of improvement and areas that have worsened

The LHCF will not request consumer health data nor perform a data analysis. This proposal only reviews existing information. The LHCF is assuming that Huston-Tillotson is performing a separate data review for the area's health needs.

## **C. Interviews with community leaders**

Interview Focus:

- To develop a deeper understanding about the forces/institutions that helped and hindered the geographic area in reaching its present health and healthcare state
- To assess how health care delivery improvements will benefit the community
- To explore and confirm prior documentation and priorities for action

Target Audience:

- University/research institutional leaders providing health/healthcare research in the area
- Nonprofit organizations providing health related services to the area
- Business service provider/advisors
- Community based organizations

Target Number:

- 20 interviews

## **D. Focus Groups**

The goal of the project is to gain an insight into the health care perceptions and behaviors of the consumers living in designated areas that might be served by the HTHWC and to understand their views and opinions of health care facilities, providers and the availability/access to care in their area.

The approach of this qualitative study is to gather direct feedback on the views and opinions on issues related to the needs, wants and availability/accessibly regarding health care from

consumers/residents of potential HTHWC service area.

### **E. Community Forum**

The purpose of the community forum is to engage the community in the development of health services. One community forum will be conducted. The meeting will provide an opportunity for the consultant team to present the philosophy by which the HTHWC will be created and the development of the HTHWC. The consultant team will present the principles of “patient-centered design”. These principles for example will include: 1) respect for privacy; 2) facilitation of communication, collaboration and trust; 3) patient and family participation; 4) patient empowerment; 5) safety and security; 6) accessible accommodations; 7) comfortable environment; 8) healing facilitation; 9) support for community goals through design; 10) access to care; and 11) integrated service delivery efficiency.

Desired Outcomes of the Community Forum:

- Attendees agreeing on policy/practice actions to pursue
- Identify agenda items for follow up
- Involve stakeholders who are concerned about these issues
- Identify champions for health

### **F. Social Media**

In the context of this project, there is opportunity to reach and involve the community through social media channels regarding the design and potential health benefits provided through the CHWC. The LCHF has had great success in using media communications with stakeholders in the potential service area for Central Health's Southeast Health and Wellness Center. The LCHF has developed social media communications with the leadership and participation of community members that promote overall project activities through multiple media channels and features. These communications have been in Spanish and English and have involved various organizations and involved decision-makers and gatekeepers. The LCHF established a website and blog with videos co-produced by stakeholders and the LCHF to promote preventive health service utilization, consumer choices and family/individual behaviors to reduce risk of chronic disease.

### **G. Community-Driven Plan for Success**

We will seek out recommendations of culturally competent, linguistically inclusive ways of promoting health and wellness that will be appropriate for this area. We believe that an evidence-based health promotion practices paired with a robust community engagement will not only increase the likelihood of the community's adoption, but also provide the stake needed for community ownership of it's own role to play in promoting their community's health.

The results of all our work through community outreach and engagement will be organized in a synthesized format and delivered in a formal report. Findings will be written up in a narrative format that includes a summary, major findings, conclusions, and recommendations.

### **DESIRED PROJECT OUTCOMES:**

- Community members to identify areas of health priorities



- Quantitative data review to identify areas of health needs
- Attendees agreeing on policy/practice actions to pursue
- Identify agenda items for follow up
- Involve stakeholders who are concerned about these issues
- Identify community champions for health

3. Deliverables and Payment Schedule for Fee of \$25,700. The deliverables assume a contract approval date of February 15, 2015.

<b>Task</b>	<b>Deliverable Description</b>	<b>Completion Date</b>	<b>Supporting Documentation Required</b>	<b>Payment Amount</b>	<b>% Of Total Funding</b>
Community Assets and Capacity Mapping	Community leader analysis of concerns, issues, and possible interventions	3/31/15	Interview guide and list with description of individuals interviewed including date of interview	\$2,313	9%
Community Needs Assessment	Review of health and healthcare trends and emerging concerns	4/30/15	Documentation of findings and 10 most important community health issues	\$4,112	16%
Interviews with community leaders	20 interviews with target audience referenced in Section 2C	4/30/15	Interview guide and list with description of individuals interviewed including date of interview	\$2,313	9%
Focus Groups	Four focus groups to gain insight into health and health care perceptions and behaviors of consumers	5/15/15	Discussion guide and narrative summary of focus groups findings including date of focus group and number of participants	\$6,425	25%

Community Forum	One community forum to engage the community on data and focus group findings	6/04/15	Agenda and narrative summary of Community Forum including date, time, and number of participants	\$3,341	13%
Social Media	Development of a community based blog that provides communication about future plans to improve the community's health	The last day of each month beginning on 2/28/15	Monthly summary of blog content	\$411.20/month for 5 months Total \$2,056	8%
Community Driven Plan	Comprehensive community health review and community driven plan	5/31/15	Formal report organized in a synthesized format and delivered in a formal report to HHSD Leadership at a meeting date/time TBD	\$5,140	20%





# City of Austin

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## **MA 9100 NG160000005-Latino Healthcare Forum**

This agreement was created by the Health and Human Service Department (HHSD) and is administered and maintained by same. There is no procurement function other than the creation of the payment vehicle.



# Purchase Order - City Single

Print: 1 / 1

Reference Number	P.O. Date	Price Agreement #	Requestor	Buyer
DO 9100 17012306168 - 1	01/23/17	MA 9100 NG160000005	Leslie Boyd, 972-5036	See Solicitation, 512-974-2500

VENDOR	SHIP TO	BILL TO
Frank Marines Rodriguez V00000916205 Latino HealthCare Forum 6601 Felix Ave.  Austin TX 78741	HHSD Campus Bldg H  HHSD CAMPUS 7201 Levander Loop, Bldg H Austin TX 78702	Health & Human Services Dept  ACCOUNTING SERVICES PO BOX 1088 Austin TX 78767

The City's standard purchase terms and conditions are hereby incorporated into this order by reference, with the same force and effect as if they were incorporated in full text. The full versions are available at [https://www.austintexas.gov/financeonline/vendor\\_connection/index.cfm#STANDARDBIDDOCUMENTS](https://www.austintexas.gov/financeonline/vendor_connection/index.cfm#STANDARDBIDDOCUMENTS) or call the Purchasing Office at (512) 974-2500. Please include above reference number on all packages, deliveries, and invoices.

Line	Quantity	Unit	Comm Code	Commodity Line Description	Unit Price	Extended Amount
1	0.00		95243	Secure Your Health program	\$0.00000	\$ 200,000.00

## Extended Description

Social Service for Secure Your Health program

## Accounting

Line	Fund	Dept	Unit	Objt	Actv	Func	Rept	Task Ord	Prog	Prog Period	Line Amount
1	1004	9100	1091	6825							\$ 200,000.00

Order Total: \$ 200,000.00

## VENDOR INSTRUCTIONS:

1. SEND ORIGINAL INVOICE WITH DUPLICATE COPY TO THE CITY DEPARTMENT TO WHICH THE GOOD(S) WERE DELIVERED
2. SHIPPING INSTRUCTIONS: F.O.B. DESTINATION UNLESS OTHERWISE SPECIFIED.
3. NO FEDERAL OR STATE SALES TAX SHALL BE INCLUDED IN PRICES BILLED. LIMITED SALES TAX #74-6000085

Authorized Agent for City Manager

By acceptance of this purchase order, you agree to comply with the terms and conditions incorporated herein by reference and made a part of this order.

01-23-2017

Date



# ROUTING SLIP FOR City of Austin Purchasing

TO: Marty James, Buyer, Purchasing Dept. FROM: Leslie Boyd, Grants Program Manager, Austin Public Health Campus, Bldg. H LB

DOCUMENT: Amendment #2 to the Social Services Agreement with Latino Healthcare Forum for the Secure Your Health program

Vendor Name: Latino Healthcare Forum Vendor Code: V00000916205

(For EXISTING Agreements Only)>> Agreement (Master Agreement) Number: NG160000005

Annual Agreement Term: 10/1/2016-9/30/2017 Total Agreement Term: 10/1/2015-9/30/2017

Agreement (Term/Amendment) Amount: \$200,000 Total Agreement Amount: \$400,000

(For NEW Agreements Only)>> Is Agreement Subject to HB1295? (Y/N) \_\_\_\_\_

Competitive Award? (Y/N) \_\_\_\_\_ If Yes, Number of Bids Received? \_\_\_\_\_

No. of vendors solicited? \_\_\_\_\_ Replaces another MA? (Y/N) \_\_\_\_\_ If Yes, MA Number: \_\_\_\_\_

Commodity Code: 95243 CL Description/Program Name: Secure Your Health program

## PROGRAM DESCRIPTION:

Latino HealthCare Forum (LHCF) provides in-person education, enrollment, and Affordable Care Act (ACA) insurance navigation services in the Austin area. The Secure Your Health program educates clients about the ACA; walks consumers through the entire enrollment and plan selection process; and helps the newly insured maintain and use their insurance.

RQM Text: \_\_\_\_\_ RQS/RQM No. \_\_\_\_\_

Request to execute Amendment #2 to the Social Services Agreement with Latino Healthcare Forum, to exercise Renewal Option #1, for the period of 10/1/2016-9/30/2017.

## DO Instructions:

Request to encumber \$200,000 in 16-17 general funds for the period of 10/1/2016-9/30/2017.

CODE	Fund	Dept	Unit	Object	Grant Program	Program Period	Program Number	Amount
Commodity Line 01	1004	9100	1091	6825				\$200,000

Encumbrance Period: 10/1/2016-9/30/2017

Documents Attached: ☒ Agreement/Amendment ☒ Approved Insurance Certificates ☒ Debarment/Suspension Forms  
☒ RCA/Council Resolution ☒ Risk Manager approval ☐ Form 1295 Certificate

## APPROVALS

SSP Program Coordinator: [Signature] DATE: 1/4/17

Contract Manager: [Signature] DATE: 1/4/17

\*(For Agreement Execution Only) I acknowledge that I have sent an electronic copy of the Purchasing Routing Slip for the attached Agreement to the Contract Compliance Unit at [HHSDCCU@austintexas.gov](mailto:HHSDCCU@austintexas.gov) and cc'd to to Glenn Selfe at [glenn.selfe@austintexas.gov](mailto:glenn.selfe@austintexas.gov).

SSP Research Analyst: [Signature] DATE: 4 Jan 2017

ODD Financial Specialist: [Signature] DATE: 1/5/17

SSP Manager: [Signature] DATE: 1/9/17

Deputy Director: [Signature] DATE: 01/9/17

Budget: [Signature] DATE: 1/11/17

Asst. Director, Admin. Svcs.: [Signature] DATE: 1/12/17

## ADDITIONAL INFORMATION:

HHSD Director signature not required. Please return to Leslie Boyd, Austin Public Health Campus, Bldg. H (512-972-5036)

Approved 5/24/2012; Revised 8/1/2016



# AGENDA



## Recommendation for Council Action

Austin City Council	Item ID	51661	Agenda Number	16.
Meeting Date:	11/12/2015	Department:	Health and Human Services	

### Subject

Approve negotiation and execution of an amendment to the contract with Latino Healthcare Forum for insurance enrollment educational outreach and navigation services of the Affordable Care Act Health Insurance Marketplace, to add funding to the contract in an amount not to exceed \$142,000, for the period of October 1, 2015 through September 30, 2016, and add three 12-month renewal options, in an amount not to exceed \$200,000 per renewal option, for a total contract amount not to exceed \$800,000.

### Amount and Source of Funding

Funding in the amount of \$142,000 is included in the Fiscal Year 2015-2016 Operating Budget of the Health and Human Services Department. Funding for the renewal options is contingent upon the availability of funding in future budgets.

### Fiscal Note

A fiscal note is not required.

Purchasing Language:	
Prior Council Action:	On September 8, 2015, Council approved Ordinance No. 20150908-001 adopting the Fiscal Year 2015-2016 Operating Budget.
For More Information:	Stephanie Hayden, Deputy Director, 972-5017; Robert Kingham, Health and Human Services Manager, 972-5026; Elena Shemilina, Agenda Coordinator, 972-5033.
Council Committee, Boards and Commission Action:	
MBE / WBE:	
Related Items:	

### Additional Backup Information

More than 6.3 million Texans, including 1.2 million children, lack health insurance. Uninsured rates in Texas are 1.5 to 2 times greater than the national average, which creates significant problems in the financing and delivery of health care to all Texans. Racial and ethnic minorities are significantly less likely to have health insurance. In Texas, 39% of Hispanics/Latinos, 22% of African Americans, and 20% of other races are uninsured. In Travis County, it is estimated that over 200,000 individuals do not have health insurance.

The Patient Protection and Affordable Care Act of 2010 (ACA) was signed into law on March 23, 2010 to reform health care in America. The ACA includes reforms to the affordability, quality, and availability of health insurance, along with new cost cutting measures, rules, and regulations for both public and private health insurance companies, and the health care industry. The ACA aims to increase the number of Americans with access to affordable health insurance. This is done, in part, by providing tax credits to certain individuals and opening competitive, regulated, online health insurance exchanges, or marketplaces, which enable individuals to buy insurance and receive cost-assistance.



Amendment No. 2  
to  
Contract No. NG160000005  
for  
Social Services  
between  
**LATINO HEALTHCARE FORUM**  
and the  
**CITY OF AUSTIN**  
(Secure Your Health)

- 1.0 The City of Austin and the Contractor hereby agree to the contract revisions listed below.
- 2.0 The total amount for this Amendment to the Agreement is **Two Hundred Thousand dollars (\$200,000)**. The total Agreement amount is recapped below:

Term	Agreement Change Amount	Total Agreement Amount
Basic Term: (Oct. 1, 2015 – Sept. 30, 2016)	n/a	\$ 58,000
Amendment No. 1: Add Funding to Contract and Add Three 12-Mos. Extension Options	\$ 142,000	\$ 200,000
Amendment No. 2: Exercise Renewal Option #1 (Oct. 1, 2016 – Sept. 30, 2017)	\$200,000	\$400,000

- 3.0 The following changes have been made to the original contract EXHIBITS:

**Exhibit A.1 -- Program Work Statement** is deleted in its entirety and replaced with a new **Exhibit A.1 -- Program Work Statement**. [Revised 12/21/2016]

**Exhibit A.2 -- Program Performance Measures** is deleted in its entirety and replaced with a new **Exhibit A.2 -- Program Performance Measures**. [Revised 12/21/2016]

**Exhibit B.1 -- Program Budget and Narrative** is deleted in its entirety and replaced with a new **Exhibit B.1 -- Program Budget and Narrative**. [Revised 11/10/2016]

- 4.0 MBE/WBE goals were not established for this Contract.
- 5.0 Based on the criteria in the City of Austin Living Wage Resolution #020509-91, the Living Wage requirement does not apply to this Contract.

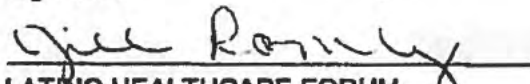
6.0 By signing this Amendment, the Contractor certifies that the Contractor and its principals are not currently suspended or debarred from doing business with the Federal Government, as indicated by the Exclusion records found at SAM.gov, the State of Texas, or the City of Austin.

7.0 All other Contract terms and conditions remain the same.

BY THE SIGNATURES affixed below, this Amendment is hereby incorporated into and made a part of the above-referenced contract.

**CONTRACTOR**

Signature:

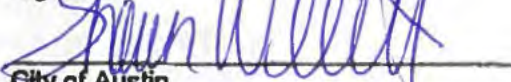


LATINO HEALTHCARE FORUM  
Jill Ramirez, Chief Executive Officer  
6601 Felix Ave.  
Austin, TX 78741

Date: 1-4-17

**CITY OF AUSTIN**

Signature:



City of Austin  
Purchasing Office  
PO Box 1088  
Austin, TX 78767

Date: 1/23/17



## Program Work Statement

Contract Start Date

10/1/2015

Contract End Date

9/30/2017

### Program Goals And Objectives

Latino HealthCare Forum (LHCF) provides in-person education, enrollment, and Affordable Care Act (ACA) insurance navigation services in the Austin area. The Secure Your Health program educates clients about the ACA; walks consumers through the entire enrollment and plan selection process; and helps the newly insured maintain and use their insurance.

LHCF will build on its use of Community Health Worker/Promotores and use them as Outreach and Enrollment Specialists (OES) with their cultural and linguistic competency in working with "hard to reach" vulnerable populations. The primary target of LHCF's campaign is the Latino uninsured residents in select zip codes in Austin/Travis County which is upwards of over 100,000. Of these 100,000, at least 30,000 continue to qualify for the insurance marketplace and about 25% require deliberate assistance.

Contract goals include:

- 1) Educate Austin and Travis County individuals about ACA and Marketplace insurance options, and
- 2) Reduce the number of uninsured and underinsured residents by enrolling individuals in Marketplace plans

### Program Clients Served

This Agreement is exempt from City of Austin Client Eligibility Requirements found in Exhibit A.3. The program is required to serve all clients who are interested in enrollment support, regardless of residency or income. While services are open to anyone and there are no income or geographic restrictions, LHCF primarily serves vulnerable minority populations, populations with limited English proficiency, and households with incomes at or below 200% FPL who live in Austin/Travis County.

The program targets individuals who are eligible for:

- 1) Any subsidized program (marketplace subsidy, Medicaid, Medicare, etc.) and
- 2) Non-subsidized individual marketplace.

Any and all data collected are in compliance with provisions of the Affordable Care Act (ACA) and state Community Partnership Program Assistor requirements. Underlying compliance requirements are those of HIPAA guidelines in dealing with personal health information provisions.

When City of Austin monitors come on-site to review enrollment client files, LHCF will be able to provide the following information for a subset of clients who reside in Austin/Travis County and who have projected incomes for the following year to be less than 200% FPL in the performance spreadsheet:

- Client Identifier
- Zip Code
- Gender
- Race
- Date of Birth or Age

Reporting relative to Outreach / Education data collected consists of:

- Date of Event
- Name of Event
- Location of Event / Address and Zip Code
- Contact at Event
- Number of participants at event
- Number of individuals assisted at event

### Program Services And Delivery

The Secure Your Health program will achieve its goals by employing Outreach and Enrollment Specialists (OES) who reflect the cultural and linguistic diversity of the target population. The OES will be trained to be knowledgeable of both subsidized and non-subsidized health coverage and qualified health plans. Navigators will be equipped with the information and expertise needed to successfully educate and enroll individuals in coverage regardless of the type of program for which they are eligible. OES will adhere to a code of conduct, confidentiality and guideline agreements, and quality assurance standards

Created 11/9/2016 5:36:00 PM

Last Modified, If Applicable 12/21/2016 9:14:00 AM

## ***Program Work Statement***

***Contract Start Date***      10/1/2015      ***Contract End Date***      9/30/2017

and protocols.

The program will provide a seamless, "no wrong door" consumer experience regardless of residency or other qualifications. It will promote the retention of existing insurance coverage in public programs.

The work of OES will be divided into two types of activities:

- a) The OES group will drive consumers to outreach, education, and enrollment activities; and
- b) The OES group will provide in-person assistance for enrollment into a qualified health plan.

### **OUTREACH & EDUCATION**

- LHCf will target individuals in the potential population through culturally competent, consumer driven marketing strategies, with multi-faceted campaigns with focus at the local level
- LHCf will tailor outreach to meet needs of different groups of the uninsured, especially those who are hardest to reach, involving representatives from the targeted communities to assure that the message is responsive and culturally competent
- LHCf will facilitate outreach and education through public and private partnerships
- LHCf will ensure access to care through person-to-person contacts

#### **Outreach and Education Components:**

- a. Identify and understand the eligible population
- b. Increase public awareness of marketplace options
- c. Increase understanding of marketplace eligibility
- d. Educate individuals about the marketplace
- e. Motivate individuals to take action to find out more about, or enroll in, the marketplace
- f. Communication: Marketing materials, advertising, events, flyers/brochures, fact sheets/cards, posters and social media.

### **ENROLLMENT & NAVIGATION**

LHCf enrollment assistance takes many forms at various times in the process of enrollment.

Enrollment in the ACA is possible to be completed using various methods including paper application, on-line electronic application submission and over-the-phone applications. All methods require the submission of specific eligibility documentation at the time of application and/or within a required period of time as specified. No application is considered complete without this required documentation. LHCf provides application assistance in support of any means selected by the client.

LHCf achieves this by:

- Client support via phone
- Client support in person

LHCf provides clients pre-application, application and post ACA application support. This assistance includes assessing health coverage needs for the client and/or family members, discussing options for their coverage and available community providers by plan, getting a health plan member card, explaining the monthly premium statement, reporting of life changes to ACA, adding new family members to the plan and other navigation assistance.

## ***System for Collecting and Reporting Program Data***

LHCf will be utilizing the Enroll ATX tool that is customizable and will enable LHCf to gather and report data, as per HIPAA and City of Austin requirements. During a site visit, LHCf will provide a spreadsheet roster of unduplicated client identifiers that are in compliance with HIPAA requirements.

## ***Performance Evaluation***

LHCf evaluates performance against established project specific metrics. Given the brevity of the open enrollment period, weekly reviews of project elements such as number of appointments made and completed, number of enrollments completed and number of events supported will be ongoing throughout the project term by the project management team.

*Created* 11/9/2016 5:36:00 PM

*Last Modified, If Applicable* 12/21/2016 9:14:00 AM



## ***Program Work Statement***

***Contract Start Date***      10/1/2015      ***Contract End Date***      9/30/2017

### ***Quality Improvement***

LHCF will continuously review and make decisions on program quality and effectiveness during its internal weekly reporting. In addition, LHCF will implement the following program quality improvement activities:

- LHCF will hold periodic meetings to get feedback from enrollers, as well as ensure enrollers feel comfortable using the systems and techniques in the enrollment process.
- LHCF will randomly survey clients (20 per month) as to the performance of the assistor/enrollers during their appointments. A simple survey of a few questions (no more than five to six questions) to gauge the clients experience during their enrollment process. Results will be summarized and provided to COA project management staff for review.

### ***Service Coordination with Other Agencies***

Service referral is a continuous, ongoing activity of the LHCF; LHCF regularly refers clients to services, including, but not limited to food banks, community clinics, schools, United Way, SIMS, Access, and MAP. Specific to enrollment efforts, LHCF maintains relationships with City and County departments, media outlets, community partners, and other service providers where future enrollment efforts could take place, for example, including but not limited to schools, family resource centers, and cultural centers such as the MACC and the Asian American Resource Center.

LHCF will be utilizing the Enroll ATX collaborative which means working with 211's functionality as a resources call center as well as providing appointment generation / scheduling for callers with LHCF, 211 being a multi-county, consumer call center provisioned by United Way.

### ***Service Collaboration with Other Agencies***

No formal collaborations exist within this contract.

### ***Community Planning Activities***

The mission of the LHCF is to advocate on behalf of low income, minority and refugee community members in Austin for access to and availability of community health related resources. LHCF staff members participate in a variety of community planning activities in various roles ranging from participants to facilitators in community engagement processes. LHCF participates in workgroup meetings such as the Central Health Equity Policy Council, the Community Care Collaborative, PATH conference, and City-sponsored events, e.g. Spirit of East Austin and other targeted areas of the most needy of the area's population groups who are affected by health disparities.

LHCF provides input and support to other community groups and organizations such as family resource centers and coalitions surrounding schools such as Martin and Mendez, major institutions, service providers and contact teams.

**Program Performance Measures**

		<i>Contract Start</i> 10/1/2015	<i>Contract End</i> 9/30/2017	<i>Period Performance Start</i> 10/1/2016	<i>Period Performance End</i> 9/30/2017
<b>Outputs</b>					
<i>OP #</i>	<i>Output Measure Description</i>	<i>Period Goal</i>			
		<i>City</i>	<i>Other</i>	<i>Total</i>	
1	Total Number of Unduplicated Clients Served (including outreach, education, and enrollment assistance)	1200	1527	2727	
2	Total number of unduplicated individuals who enroll in a Marketplace health insurance plan	528	672	1200	
3	Total Number of repeat clients (clients who engage with LHCF multiple times)	150	190	340	
4	Total number of Outreach Events	82	105	187	

## Program Performance Measures

**Contract Start**  
10/1/2015

**Contract End**  
9/30/2017

**Period Performance Start**  
10/1/2016

**Period Performance End**  
9/30/2017

### Outcomes

<b>OC Item</b>	<b>Outcome Measure Description</b>	<b>Total Program Goal</b>
1 Num	Number of individuals obtaining or maintaining public benefits	1363
1 Den	Number of individuals in program	2727
1 Rate	Percent of individuals who obtain or maintain public benefits	49.98

## ***Program Budget and Narrative***

*Program Start 10/1/2016*

*Program End 9/30/2017*

	<i>City Share</i>	<i>Other</i>	<i>Total</i>
<i>Salary plus Benefits</i>	\$166,672.00	\$226,845.00	\$393,517.00
<i>General Operations Expenses</i>	\$33,328.00	\$23,208.00	\$56,536.00
<i>Program Subcontractors</i>	\$0.00	\$0.00	\$0.00
<i>Staff Travel</i>	\$0.00	\$0.00	\$0.00
<i>Conferences</i>	\$0.00	\$4,000.00	\$4,000.00
<i>Operations SubTotal</i>	\$33,328.00	\$27,208.00	\$60,536.00
<i>Food and Beverages for Clients</i>	\$0.00	\$0.00	\$0.00
<i>Financial Direct Assistance to Clients</i>	\$0.00	\$0.00	\$0.00
<i>Other Assistance</i>	Please Specify	Please Specify	Please Specify
<i>Other Assistance Amount</i>	\$0.00	\$0.00	\$0.00
<i>Direct Assistance SubTotal</i>	\$0.00	\$0.00	\$0.00
<i>Capital Outlay Amount</i>	\$0.00	\$0.00	\$0.00
<b><i>Total</i></b>	<b>\$200,000.00</b>	<b>\$254,053.00</b>	<b>\$454,053.00</b>

### ***Detailed Budget Narrative***

#### ***Salaries plus Benefits***

*Salaries, benefits and applicable payroll taxes*

#### ***General Op Expenses***

*Rent, utilities, telecommunications, facility maintenance expenses, staff mileage reimbursement, printing, educational and promotional materials, program supplies and equipment, audit, accounting services*

#### ***Program Subcontractors***

#### ***Staff Travel***

#### ***Conferences***

#### ***Food and Beverage***

#### ***Financial Assistance***

#### ***Other Assistance***

#### ***Capital Outlay***



# ROUTING SLIP FOR City of Austin Purchasing

**TO:** Claudia Rodriguez, Buyer, Purchasing

**FROM:** Leslie Boyd, Grants Program Manager, HHSD

**Sender's Telephone:** (512) 972-5036

**DATE SENT:** Wednesday, October 21, 2015

**DOCUMENT:** New Social Services Contract with Latino Healthcare Forum for the Secure Your Health program

**REQUESTED ACTION:** Execute New Social Services Contract with and encumber funds for Latino Healthcare Forum for the Secure Your Health program

**Vendor Name:** Latino Healthcare Forum

**Contract (Term/Amendment) Amount:** \$58,000.00

**Total Contract Amount:** \$58,000.00

**Vendor Code:** V00000916205

(For EXISTING Contracts Only)>>

**Contract (MA) Number:** TBD

**Annual Contract Term:** 10/1/2015-9/30/2016

**Total Contract Term:** 10/1/2015-9/30/2016

CODE	Fund	Dept	Unit	Object	Grant Program	Program Period	Program Number	Amount
Commodity Line 01	1004	9100	1091	6825				\$58,000

## **BUDGETARY AND FISCAL IMPACT/PROGRAM DESCRIPTION:**

The goal of the Secure Your Health program is to educate Austin/Travis County individuals about Affordable Care Act and Marketplace insurance options, and reduce the number of uninsured and underinsured residents by enrolling individuals in Marketplace plans.

**RXQ Text:**

**RX Completed: (Initial/Date)** \_\_\_\_\_

Request to execute a new social services contract with Latino Healthcare Forum for the period of 10/1/2015-9/30/2016, with three 12-mos. renewal options.

**DO Instructions:**

**DO Completed: (Initial/Date)** \_\_\_\_\_

Request to encumber \$58,000-in FY15-16 general funds for the period of 10/1/2015-9/30/2016.

**Amount Encumbered:** \$58,000.00

**Encumbrance Period:** 10/1/2015-9/30/2016

**Documents Attached:** ☒ Debarment/Suspension Forms ☒ Other- Risk Manager approval ☐ RCA/Council Resolution  
☒ Contract/Amendment ☒ Approved Insurance Certificates

## **APPROVALS**

**REQUESTOR:** Leslie Boyd, Grants Program Manager, Social Services Policy Unit

*LB*

**DATE:**

10/21/2015

**CONTRACT MANAGER:** Michelle Friedman

*Michelle Friedman*

**DATE:**

10/21/15

**Comments:**

\*(For Contract Execution Only) I acknowledge that I have sent an electronic copy of the Purchasing Routing Slip for the attached contract to the Contract Compliance Unit at HHSDCCU@austintexas.gov

**SSP Research Analyst:**

*J. Rodriguez*

**DATE:** 22 Oct 15

**Comments:**

**SSP Financial Specialist**

*Glenn*

**DATE:** 10/23/15

**Comments:**

**SSP MANAGER:**

*MTB*

**DATE:** 10/26/15

**Comments:**

**DEPUTY DIRECTOR:**

*Stacy*

**DATE:** 10/26/15

**Comments:**

**BUDGET:**

*C*

**DATE:** 10/27/15

**Comments:**

**ASSISTANT DIRECTOR:**

*Stacy*

**DATE:** 10/27/15

(Admin) **Comments:**

## **ADDITIONAL INFORMATION**

Contract is under Council limit- no RCA required. HHSD Director signature not required. Please return to Leslie Boyd, HHSD Campus, H

Revised 10/9/2015  
Approved 5/24/2012



**CONTRACT BETWEEN  
THE CITY OF AUSTIN  
AND  
LATINO HEALTHCARE FORUM  
FOR**

**SOCIAL SERVICES**

**CONTRACT NO. 9100-NG1160000005**

**CONTRACT AMOUNT: \$58,000**

This Contract is made by and between the City of Austin ("the City") acting by and through its Health and Human Services Department ("HHSD"), a home-rule municipality incorporated by the State of Texas, and Latino HealthCare Forum ("Contractor"), a Texas non-profit corporation, having offices at 6601 Felix Ave., Austin, TX 78741.

**SECTION 1. GRANT OF AUTHORITY, SERVICES AND DUTIES**

**1.1 Engagement of the Contractor.** Subject to the general supervision and control of the City and subject to the provisions of the Terms and Conditions contained herein, the Contractor is engaged to provide the services set forth in the attached Contract Exhibits.

**1.2 Responsibilities of the Contractor.** The Contractor shall provide all technical and professional expertise, knowledge, management, and other resources required for accomplishing all aspects of the tasks and associated activities identified in the Contract Exhibits. The Contractor shall assure that all Contract provisions are met by the Subcontractor.

**1.3 Responsibilities of the City.** The City's Contract Manager will be responsible for exercising general oversight of the Contractor's activities in completing the Program Work Statement. Specifically, the Contract Manager will represent the City's interests in resolving day-to-day issues that may arise during the term of this Contract, shall participate regularly in conference calls or meetings for status reporting, shall promptly review any written reports submitted by the Contractor, and shall approve all requests for payment, as appropriate. The City's Contract Manager shall give the Contractor timely feedback on the acceptability of progress and task reports. The Contract Manager's oversight of the Contractor's activities shall be for the City's benefit and shall not imply or create any partnership or joint venture as between the City and the Contractor.

**1.4 Designation of Key Personnel.** The City's Contract Manager for this Contract, to the extent stated in the preceding section 1.3, shall be responsible for oversight and monitoring of Contractor's performance under this Contract as needed to represent the City's interest in the Contractor's performance.

**1.4.1** The City's Contract Manager, Michelle Friedman or designee:

- may meet with Contractor to discuss any operational issues or the status of the services or work to be performed; and

- shall promptly review all written reports submitted by Contractor, determine whether the reports comply with the terms of this Contract, and give Contractor timely feedback on the adequacy of progress and task reports or necessary additional information.



1.4.2 Contractor's Contract Manager, Jill Ramirez, Chief Executive Officer, or designee, shall represent the Contractor with regard to performance of this Contract and shall be the designated point of contact for the City's Contract Manager.

1.4.3 If either party replaces its Contract Manager, that party shall promptly send written notice of the change to the other party. The notice shall identify a qualified and competent replacement and provide contact information.

## **SECTION 2. TERM**

2.1 **Term of Contract.** The Contract shall be in effect for a term of twelve (12) months beginning October 1, 2015 through September 30, 2016. There are no authorized extension options.

2.1.1 Upon expiration of the initial term or period of extension, the Contractor agrees to hold over under the terms and conditions of this Contract for such a period of time as is reasonably necessary to re-solicit and/or complete the project (not to exceed 120 calendar days unless mutually agreed upon in writing).

## **SECTION 3. PROGRAM WORK STATEMENT**

3.1 **Contractor's Obligations.** The Contractor shall fully and timely provide all services described in the attached Contract Exhibits in strict accordance with the terms, covenants, and conditions of the Contract and all applicable Federal, State, and local laws, rules, and regulations.

## **SECTION 4. COMPENSATION AND REPORTING**

4.1 **Contract Amount.** The Contractor acknowledges and agrees that, notwithstanding any other provision of this Contract, the maximum amount payable by the City under this Contract for the initial twelve (12) month term shall not exceed the amount approved by City Council, which is \$58,000 (*Fifty Eight Thousand dollars*), for a total Contract amount of \$58,000. Continuation of the Contract beyond the initial twelve (12) months is specifically contingent upon the availability and allocation of funding by City Council.

4.1.1 The Contractor shall expend City funds according to the approved budget categories described in Exhibit B.1, Program Budget and Narrative.

4.1.1.1 **Budget Revision:** The Contractor may make transfers between or among budget categories with the City Contract Manager's prior approval, provided that:

- i. The cumulative amount of the transfers between direct budget categories (Personnel, Operating Expenses, Direct Assistance and/or Equipment/Capital Outlay) is not more than 10% of the program period total –or– \$50,000, whichever is less;
- ii. the transfer will not increase or decrease the total monetary obligation of the City under this Contract; and
- iii. the transfers will not change the nature, performance level, or scope of the program funded under this Contract.

4.1.1.2 Transfers between or among budget categories in excess of 10% will require the City Contract Manager's approval, and must meet all of the conditions outlined in Section 4.1.1.1 (ii) and (iii) above.

- i. The CONTRACTOR must submit a Budget Revision Form to the City **prior** to the submission of the CONTRACTOR'S first monthly billing to the City following the transfer.

4.1.2 Payment to the Contractor shall be made in the following increments:

4.1.2.1 For the Program Period of October 1, 2015 through September 30, 2016, the payment from the City to the Contractor shall not exceed \$58,000 (*Fifty Eight Thousand dollars*).

#### 4.2 **Requests for Payment.**

Payment to the Contractor shall be due thirty (30) calendar days following receipt by the City of Contractor's fully and accurately completed "Payment Request" and "Monthly Expenditure Report", using forms at <http://www.ckodm.com/austin/>. The payment request and expenditure report must be submitted to the City no later than 5:00 p.m. Central Time fifteen (15) calendar days following the end of the month covered by the request and expenditure report. **If the fifteenth (15<sup>th</sup>) calendar day falls on a weekend or holiday, as outlined in Section 8.24, the deadline to submit the payment request and expenditure report is extended to no later than 5:00 p.m. Central Time of the first (1<sup>st</sup>) weekday immediately following the weekend or holiday.** Contractor must provide the City with supporting documentation for each monthly Payment Request which includes, but not limited to, a report of City contract expenditures generated from the Contractor's financial management system. Examples of appropriate supporting documentation **MAY** include, but are not limited to:

- General Ledger Detail report from the contractor's financial management system
- Profit & Loss Detail report from the contractor's financial management system
- Check ledger from the contractor's financial management system
- Payroll reports and summaries, including salary allocation reports and signed timesheets
- Receipts and invoices
- Copies of checks and bank statements showing transactions as cleared

**The City retains right of final approval of any supporting documentation submitted before a Payment Request is approved for processing. Failure to provide supporting documentation acceptable to the City may result in delay or rejection of the Payment Request. The City reserves the right to modify the required supporting documentation, as needed.**

4.2.1 Unless otherwise expressly authorized in the Contract, the Contractor shall pass through all Subcontract and other authorized expenses at actual cost without markup.

4.2.2 Federal excise taxes, State taxes, or City sales taxes must not be included in the invoiced amount. The City will furnish a tax exemption certificate upon request.

#### 4.3 **Payment.**

4.3.1 All requests for payment received by the City will be paid within thirty (30) calendar days of the City's receipt of the deliverables or of the invoice, whichever is later. Requests for payment received without all required information cannot be processed and will be returned to the Contractor.

4.3.2 If payment is not timely made, (per this paragraph), interest shall accrue on the unpaid balance at the lesser of the rate specified in Texas Government Code Section 2251.025 or the maximum lawful rate; except, if payment is not timely made for a reason for which the City may withhold payment hereunder, interest shall not accrue until ten (10) calendar days after the grounds for withholding payment have been resolved.

4.3.3 The City may withhold or set off the entire payment or part of any payment otherwise due the Contractor to such extent as may be necessary on account of;

4.3.3.1 delivery of unsatisfactory services by the Contractor;

4.3.3.2 third party claims, which are not covered by the insurance which the Contractor is required to provide, are filed or reasonable evidence indicating probable filing of such claims;

4.3.3.3 failure of the Contractor to pay Subcontractors, or for labor, materials or equipment,

4.3.3.4 damage to the property of the City or the City's agents, employees or contractors, which is not covered by insurance required to be provided by the Contractor;

4.3.3.5 reasonable evidence that the Contractor's obligations will not be completed within the time specified in the Contract, and that the unpaid balance would not be adequate to cover actual or liquidated damages for the anticipated delay;



4.3.3.6 failure of the Contractor to submit proper payment requests and expenditure reports with all required attachments and supporting documentation;

4.3.3.7 failure of the Contractor to comply with any material provision of the Contract; or

4.3.4 Notice is hereby given of Article VIII, Section 1 of the Austin City Charter which prohibits the payment of any money to any person, firm or corporation who is in arrears to the City for taxes, and of §2-8-3 of the Austin City Code concerning the right of the City to offset indebtedness owed the City. Payment will be made by check unless the parties mutually agree to payment by electronic transfer of funds.

4.4 **Non-Appropriation.** The awarding or continuation of this Contract is dependent upon the availability of funding. The City's payment obligations are payable only and solely from funds appropriated and available for this Contract. The absence of appropriated or other lawfully available funds shall render the Contract null and void to the extent funds are not appropriated or available and any deliverables delivered but unpaid shall be returned to the Contractor. The City shall provide the Contractor written notice of the failure of the City to make an adequate appropriation for any fiscal year to pay the amounts due under the Contract, or the reduction of any appropriation to an amount insufficient to permit the City to pay its obligations under the Contract. In the event of non- or inadequate appropriation of funds, there will be no penalty nor removal fees charged to the City.

4.5 **Travel Expenses.** All approved travel, lodging, and per diem expenses in connection with the Contract for which reimbursement may be claimed by the Contractor under the terms of the Contract will be reviewed against the City's Travel Policy and the current United States General Services Administration Domestic Per Diem Rates (the "Rates") as published and maintained on the Internet at:

<http://www.gsa.gov/portal/category/21287>

No amounts in excess of the Travel Policy or Rates shall be paid. No reimbursement will be made for expenses not actually incurred. Airline fares in excess of coach or economy will not be reimbursed. Mileage charges may not exceed the amount permitted as a deduction in any year under the Internal Revenue Code or Regulation.

4.6 **Final Payment and Close-Out.**

4.6.1 The making and acceptance of final payment will constitute:

4.6.1.1 a waiver of all claims by the City against the Contractor, except claims (1) which have been previously asserted in writing and not yet settled, (2) arising from defective work appearing after final inspection, (3) arising from failure of the Contractor to comply with the Contract or the terms of any warranty specified herein, regardless of when the cause for a claim is discovered (4) arising from the Contractor's continuing obligations under the Contract, including but not limited to indemnity and warranty obligations, or (5) arising under the City's right to audit; and

4.6.1.2 a waiver of all claims by the Contractor against the City other than those previously asserted in writing and not yet settled.

4.7 **Financial Terms.**

4.7.1 The City agrees to pay Contractor for services rendered under this Contract and to reimburse Contractor for actual, eligible expenses incurred and billed in accordance with all terms and conditions of this Contract. The City shall not be liable to Contractor for any costs incurred by Contractor which are not reimbursable as set forth in Section 4.8.

4.7.2 The City's obligation to pay is subject to the timely receipt of complete and accurate reports as set forth in Section 4.9 and any other deliverable required under this Contract.

4.7.3 Payments to the Contractor will immediately be suspended upon the occasion of any late, incomplete, or inaccurate report, audit, or other required report or deliverable under this Contract, and payments will not be resumed until the Contractor is in full compliance.

4.7.4 The City shall not be liable to Contractor for any costs which have been paid under other agreements or from other funds. In addition, the City shall not be liable for any costs incurred by

Contractor which were: a) incurred prior to the effective date of this Contract, or b) not billed to the City within sixty (60) calendar days following termination date of this Contract.

4.7.5 Contractor agrees to refund to the City any funds paid under this Contract which the City determines have resulted in overpayment to Contractor or which the City determines have not been spent by Contractor in accordance with the terms of this Contract. Refunds shall be made by Contractor within thirty (30) calendar days after a written refund request is submitted by the City. The City may, at its discretion, offset refunds due from any payment due Contractor, and the City may also deduct any loss, cost, or expense caused by Contractor from funds otherwise due.

4.7.6 Contractor shall deposit and maintain all funds received under this Contract in either a separate numbered bank account or a general operating account, either of which shall be supported with the maintenance of a separate accounting with a specific chart which reflects specific revenues and expenditures for the monies received under this Contract. The Contractor's accounting system must identify the specific expenditures, or portions of expenditures, against which funds under this Contract are disbursed.

4.7.7 Contractor is required to utilize an online contract management system for billing and reporting in accordance with the City's guidelines, policies, and procedures. Contractor is responsible for all data entered/edited under its unique username, as well as all required but omitted data.

4.7.8 Contractor shall expend the City budget in a reasonable manner in relation to contract time elapsed and/or contract program service delivery schedule. If cumulative expenditures are not within acceptable amounts, the City may require the Contractor to: 1) submit an expenditure plan, and/or 2) amend the contract budget amount to reflect projected expenditures, as determined by the City.

#### 4.8 **Allowable and Unallowable Costs.**

The City shall make the final determination of whether a cost is allowable or unallowable under this Contract.

4.8.1 **Reimbursement Only.** Expenses and/or expenditures shall be considered reimbursable only if incurred during the current Program Period identified in Section 4.1.2, directly and specifically in the performance of this Contract, and in conformance with the Contract Exhibits. Contractor agrees that, unless otherwise specifically provided for in this Contract, payment by the City under the terms of this Contract is made on a reimbursement basis only; Contractor must have incurred and paid costs prior to those costs being invoiced and considered allowable under this Contract and subject to payment by the City.

4.8.2 To be allowable under this Contract, a cost must meet all of the following general criteria:

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

4.8.3 The City's prior written authorization is required in order for the following to be considered allowable costs. Inclusion in the budget within this Contract constitutes "written authorization". The item shall be specifically identified in the budget.

1. Alteration, construction, or relocation of facilities
2. Depreciation.
3. Equipment and other capital expenditures.
4. Interest, other than mortgage interest as part of a pre-approved budget under this Contract



5. Organization costs (costs in connection with the establishment or reorganization of an organization)
6. Public relations costs, except reasonable, pre-approved advertising costs related directly to services provided under this Contract
7. Purchases of tangible, nonexpendable property, including fax machines, stereo systems, cameras, video recorder/players, microcomputers, software, printers, microscopes, oscilloscopes, centrifuges, balances and incubator, or any other item having a useful life of more than one year and an acquisition cost, including freight, of over five thousand dollars (\$5,000)
8. Selling and marketing
9. Travel/training outside Travis County

4.8.4 The following types of expenses are specifically **not allowable** with City funds under this Contract:

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
7. Donations and contributions including donated goods or space
8. Entertainment costs
9. Fines and penalties (including late fees)
10. Fundraising and development costs
11. Goods or services for officers' or employees' personal use
12. Housing and personal living expenses for organization's officers or employees
13. Idle facilities and idle capacity
14. Litigation-related expenses (including personnel costs) in action(s) naming the City as a Defendant
15. Lobbying or other expenses related to political activity
16. Losses on other agreements or contracts or casualty losses
17. Taxes, other than payroll and other personnel-related levies

#### 4.9 **Reports.**

4.9.1 Contractor must submit a fully and accurately completed "Payment Request" and "Monthly Expenditure Report" to the City's Contract Manager using the forms shown at <http://www.ckodm.com/austin/> by the deadline outlined in section 4.2. Contractor must provide complete and accurate supporting documentation. Upon receipt and approval by the City of each complete and accurate Payment Request and Monthly Expenditure Report, the City shall process payment to the Contractor of an amount equal to the City's payment obligations, subject to deduction for any unallowable costs.

4.9.2 Contractor shall submit a quarterly performance report using the format and method specified by the City no later than fifteen (15) calendar days following each calendar quarter. If the fifteenth (15<sup>th</sup>) calendar day falls on a weekend or holiday, as outlined in Section 8.24, the deadline to submit the quarterly performance report is extended to no later than 5:00 p.m. Central Time of the first (1<sup>st</sup>) weekday immediately following the weekend or holiday. Contractor shall provide complete and accurate supporting documentation upon request by City. Payment Requests will not be approved if any accurate and complete performance report, including any required documentation, is past due. Performance reports on a frequency other than quarterly may be required by the City based upon business needs.



4.9.3 An annual Contract Progress Report, using the forms shown at <http://www.ckodm.com/austin/>, shall be completed by the Contractor and submitted to the City within sixty (60) calendar days following the end of each Program Period identified in section 4.1.2.

4.9.4 A Contract Closeout Summary report using the forms shown at <http://www.ckodm.com/austin/> shall be completed by the Contractor and submitted to the City within sixty (60) calendar days following the expiration or termination of this Contract. Any encumbrances of funds incurred prior to the date of termination of this Contract shall be subject to verification by the City. Upon termination of this Contract, any unused funds, unobligated funds, rebates, credits, or interest earned on funds received under this Contract shall be returned to the City.

4.9.5 Contractor shall provide the City with a copy of the completed Administrative and Fiscal Review (AFR) using the forms shown at <http://www.ckodm.com/austin/>, and required AFR Attachments, including a copy of the Contractor's completed Internal Revenue Service Form 990 or 990EZ (Return of Organization Exempt from Income Tax) if applicable, for each calendar year no later than May 31st of each year. If Contractor filed a Form 990 or Form 990EZ extension request, Contractor shall provide the City with a copy of that application of extension of time to file (IRS Form 2758) within thirty (30) days of filing said form(s), and a copy of the final IRS Form 990 document(s) immediately upon completion.

4.9.6 Contractor shall provide other reports required by the City to document the effective and appropriate delivery of services as outlined under this Contract as required by the City.

4.10 **Contractor Policies and Procedures.** Contractor shall maintain written policies and procedures approved by its governing body and shall make copies of all policies and procedures available to the City upon request. At a minimum, written policies shall exist in the following areas: Financial Management; Subcontracting and/or Procurement; Equal Employment Opportunity; Personnel and Personnel Grievance; Nepotism; Non-Discrimination of Clients; Client Grievance; Drug Free Workplace; the Americans With Disabilities Act; and Criminal Background Checks.

4.11 **Monitoring and Evaluation.**

4.11.1 Contractor agrees that the City or its designee may carry out monitoring and evaluation activities to ensure adherence by the Contractor and Subcontractors to the Program Work Statement, Program Performance Measures, and Program Budget, as well as other provisions of this Contract. Contractor shall fully cooperate in any monitoring or review by the City and further agrees to designate a staff member to coordinate monitoring and evaluation activities.

4.11.2 The City expressly reserves the right to monitor client-level data related to services provided under this contract. If the Contractor asserts that client-level data is legally protected from disclosure to the City, a specific and valid legal reference to this assertion must be provided.

4.11.3 Contractor shall provide the City with copies of all evaluation or monitoring reports received from other funding sources during the Contract Term within twenty (20) working days following the receipt of the final report.

4.11.4 Contractor shall keep on file copies of all notices of Board of Directors meetings, Subcommittee or Advisory Board meetings, and copies of approved minutes of those meetings.

4.12 **Financial Audit of Contractor.**

4.12.1 In the event Contractor expends \$750,000 or more in a year in federal awards, Contractor shall have a single or program specific audit conducted in accordance with Chapter 200, Subpart F, of Title 2 of the Code of Federal Regulations as required by the Single Audit Act of 1984, as amended (Single Audit Act), and shall submit to the City a complete set of audited financial statements and the auditor's opinion and management letters in accordance with Chapter 200, Subpart F, of Title 2 of the Code of Federal Regulations and any guidance issued by the federal

Office of Management and Budget covering Contractor's fiscal year until the end of the term of this Contract.

4.12.2 If Contractor is not subject to the Single Audit Act, and expends seven hundred fifty thousand dollars (\$750,000) or more during the Contractor's fiscal year, then Contractor shall have a full financial audit performed. If less than seven hundred fifty thousand dollars (\$750,000) is expended, then a financial review is acceptable, pursuant to the requirements of this Contract.

4.12.3 Contractor shall contract with an independent auditor utilizing a Letter of Engagement. The auditor must be a Certified Public Accountant recognized by the regulatory authority of the State of Texas.

4.12.4 Contractor must submit one (1) Board-approved, bound hard copy of a complete financial audit report or financial review, to include the original auditor opinion, within one hundred eighty (180) calendar days of the end of Contractor's fiscal year, unless alternative arrangements are approved in writing by the City. The financial audit report/financial review must include the Management Letter if one was issued by the auditor. Contractor may not submit electronic copies of financial audit reports/financial reviews to the City. Financial audit reports/financial reviews must be provided in hard copy, and either mailed or hand-delivered to the City.

4.12.5 The City will contact the independent auditor to verify:

- i. That the auditor completed the financial audit report/financial review received from the Contractor;
- ii. That the auditor presented the financial audit report/financial review to the Contractor's Board of Directors or a committee of the Board, and;
- iii. The date the financial audit report/financial review was presented to the Contractor's Board of Directors or a committee of the Board.

4.12.6 The City will contact the Board Chair to verify that the auditor presented the financial audit report/financial review to the Contractor's Board of Directors or a committee of the Board.

- i. Contractor's Board Chair must submit a signed and dated copy of the HHSD Board Certification form to the City as verification.
- ii. In lieu of the Board Certification form, Contractor must submit a signed and copy of the approved Board meeting minutes to the City, indicating the following:
  - a) The Board of Directors, or a committee of the Board, has met with the independent auditor;
  - b) The Board of Directors has authorized and accepted the financial audit report/financial review.

A signed and dated copy of the HHSD Board Certification form, or approved and signed Board minutes reflecting acceptance of the financial audit report/financial review will be due to the City within forty-five (45) days after the audit is due to the City. Board minutes regarding approval of the Contractor's financial audit report/financial review will be verified with the Contractor's Board Chair. The City will deem the financial audit report/financial review incomplete if Contractor fails to submit either the Board Certification form or the Board minutes as required by this section 4.12.6.

4.12.7 The inclusion of any Findings or a Going Concern Uncertainty, as defined by Chapter 200, Subpart F, of Title 2 of the Code of Federal Regulations and Generally Accepted Auditing Standards (GAAS), in a Contractor's audit requires the creation and submission to the City of a corrective action plan formally approved by the Contractor's governing board. The plan must be submitted to the City within 60 days after the audit is due to the City. Failure to submit an adequate plan to the City may result in the immediate suspension of funding. If adequate improvement related to the audit findings is not documented within a reasonable period of time, the City may provide additional technical assistance, refer the Agreement to the City Auditor for analysis, or move to terminate the Agreement as specified in Section 5 of the Agreement.



4.12.8 The expiration or termination of this Contract shall in no way relieve the Contractor of the audit requirement set forth in this Section.

**4.12.9 Right To Audit By Office of City Auditor.**

4.12.9.1 Contractor agrees that the representatives of the Office of the City Auditor, or other authorized representatives of the City, shall have access to, and the right to audit, examine, and copy any and all records of the Contractor related to the performance under this Agreement during normal business hours (Monday – Friday, 8 am – 5 pm). In addition to any other rights of termination or suspension set forth herein, the City shall have the right to immediately suspend the Agreement, upon written notice to Contractor, if Contractor fails to cooperate with this audit provision. The Contractor shall retain all such records for a period of five (5) years after the expiration or early termination of this Agreement or until all audit and litigation matters that the City has brought to the attention of the Contractor are resolved, whichever is longer. The Contractor agrees to refund to the City any overpayments disclosed by any such audit.

4.12.9.2 Contractor shall include this audit requirements in any subcontracts entered into in connection with this Agreement.

**4.13 Ownership of Property.**

4.13.1 Ownership title to all capital acquisition, supplies, materials or any other property purchased with funds received under this Contract and in accordance with the provisions of the Contract, is vested with the City and such property shall, upon termination of the Contract, be delivered to the City upon request.

4.13.2 Written notification must be given to the City within five (5) calendar days of delivery of nonexpendable property (defined as anything that has a life or utility of more than one (1) year and an acquisition cost, including freight, of over five thousand dollars (\$5,000)) in order for the City to effect identification and recording for inventory purposes. Contractor shall maintain adequate accountability and control over such property, maintain adequate property records, perform an annual physical inventory of all such property, and report this information in the annual Contract Progress Report, due sixty (60) days after the end of each Program Period, as well as in the Closeout Summary Report, due sixty (60) days after the end of the Contract Term.

4.13.3 In the event Contractor's services are retained under a subsequent agreement, and should Contractor satisfactorily perform its obligations under this Contract, Contractor shall be able to retain possession of non-expendable property purchased under this Contract for the duration of the subsequent agreement.

4.13.4 Property purchased with City funds shall convey to Contractor two (2) years after purchase, unless notified by the City in writing.

**SECTION 5. TERMINATION**

5.1 **Right To Assurance.** Whenever one party to the Contract in good faith has reason to question the other party's intent to perform, demand may be made to the other party for written assurance of the intent to perform. In the event that no assurance is given within the time specified after demand is made, the demanding party may treat this failure as an anticipatory repudiation of the Contract.

5.2 **Default.** The Contractor shall be in default under the Contract if the Contractor (a) fails to fully, timely and faithfully perform any of its material obligations under the Contract, (b) fails to provide adequate assurance of performance under the "Right to Assurance paragraph herein, (c) becomes insolvent or seeks relief under the bankruptcy laws of the United States or (d) makes a material misrepresentation in Contractor's Offer, or in any report or deliverable required to be submitted by Contractor to the City.

**8.26 Non-Suspension or Debarment Certification.** The City is prohibited from contracting with or making prime or sub-awards to parties that are suspended or debarred or whose principals are suspended or debarred from Federal, State, or City of Austin Contracts. By accepting a contract with the City, the Contractor certifies that its firm and its principals are not currently suspended or debarred from doing business with the Federal Government, as indicated by the Exclusions records at SAM.gov, the State of Texas, or the City of Austin.

In witness whereof, the parties have caused duly authorized representatives to execute this Contract on the dates set forth below.

**LATINO HEALTHCARE FORUM**

Signature: Jill Ramirez

Name: JILL RAMIREZ  
Printed Name

Title: CEO

Date: 10/21/2015

**CITY OF AUSTIN**

Signature: Claudia Rodriguez

Name: Claudia Rodriguez  
PURCHASING OFFICE

Date: 11/2/2015

**EXHIBITS**

**Exhibit A – Program Forms**

- A.1 Program Work Statement
- A.2 Program Performance Measures
- A.3 Client Eligibility Requirements

**Exhibit B – Program Budget Forms**

- B.1 Program Budget and Narrative

**Exhibit C – Equal Employment/Fair Housing Office/Non-Discrimination Certification**



## Program Work Statement

Contract Start Date

10/1/2015

Contract End Date

9/30/2016

### Program Goals And Objectives

Latino HealthCare Forum (LHCF) provides in-person education, enrollment, and Affordable Care Act (ACA) insurance navigation services in the Austin area. The Secure Your Health program educates clients about the ACA; walks consumers through the entire enrollment and plan selection process; and helps the newly insured maintain and use their insurance.

Contract goals include:

- (1) Educate Austin and Travis County individuals about ACA and Marketplace insurance options, and
- (2) Reduce the number of uninsured and underinsured residents by enrolling individuals in Marketplace plans

### Program Clients Served

City of Austin Eligibility Guidelines is waived. The program is required to serve all clients who are interested in enrollment support, regardless of residency or income. While services are open to anyone with no income or geographic restrictions, LHCF primarily serves vulnerable minority populations, populations with limited English proficiency, and households with incomes at or below 200% FPL who live in Travis County. Clients who participate in outreach events will not be screened for eligibility.

The program targets individuals who are eligible for:

- 1) Any subsidized program (marketplace subsidy, Medicaid, Medicare, etc.) and;
- 2) Non-subsidized individual marketplace.

Any and all data collected is in compliance with provisions of the Affordable Care Act (ACA) and state Community Partnership Program Assistor requirements. Underlying compliance requirements are those of HIPAA guidelines in dealing with personal health information provisions.

When City of Austin monitors come on-site to review enrollment client files, LHCF will be able to provide the following information for a subset of clients who reside in Travis County and who have projected incomes for the following year to be less than 200% FPL in the performance spreadsheet:

- Client identifier
- Zip Code
- Gender
- Race,
- Date of Birth or Age

For reporting relative to Outreach / Education data collected consists of:

- Date of Event
- Name of Event
- Location of Event / address and Zip Code
- Contact at Event
- Number of participants at event
- Number of individuals assisted at event

### Program Services And Delivery

The Secure Your Health program will achieve its goals by empowering Outreach and Enrollment Specialists (OES) who reflect the cultural and linguistic diversity of the target population. The OES will be trained to be knowledgeable of both subsidized and non-subsidized health coverage and qualified health plans. Navigators will be equipped with the information and expertise needed to successfully educate and enroll individuals in coverage regardless of the type of program for which they are eligible.

The program will provide a seamless, "no wrong door" consumer experience regardless of residency or other qualifications. It will promote the retention of existing insurance coverage in public programs.

Outreach: The OES will be divided into two types of activities:

- a)The OES group will drive consumers to outreach, education, and enrollment activities; and

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## Program Work Statement

Contract Start Date

10/1/2015

Contract End Date

9/30/2016

b)The OES group will provide for in-person assistance for enrollment into a qualified health plan.

Outreach Elements: LHCF will build on its use of Community Health Worker/Promotores and use them as Outreach and Enrollment Specialists (OES) with their cultural and linguistic competency in working with "hard to reach" vulnerable populations. The target of LHCF's campaign is the Latino uninsured in select zip codes in Travis County which is upwards of over 100,000 of which at least 30,000 qualify for the insurance marketplace and about 25% require assistance.

The LHCF will target potential population through culturally competent, consumer driven marketing strategies, with multi-faceted campaigns with focus at local level through:

- a)Outreach tailored to meet needs of different groups of the uninsured, especially those who are hardest to reach, involving representatives from the targeted communities to assure that the message is responsive and culturally competent
- b)Facilitating outreach and education through public and private partnerships
- c)Ensuring access to care through person-to-person contacts
- d)Outreach and Education Components:
  - a.Identify and understand the eligible population
  - b.Increase public awareness of marketplace options
  - c.Increase understanding of marketplace eligibility
  - d.Educate individuals about the marketplace
  - e.Motivate individuals to take action to find out more about, or enroll in, the marketplace
- f.Communication: Marketing materials, advertising, events, flyers/brochures, fact sheets/cards, posters and social media.

The program will ensure that OES will adhere to a code of conduct, confidentiality and guideline agreements and establish quality assurance standards and protocols.

### System for Collecting and Reporting Program Data

LHCF plans on using the Enroll ATX tool that is customizable and will enable LHCF to gather and report data, as per HIPAA and City of Austin requirements. During a site visit, LHCF will provide a spreadsheet roster of unduplicated client identifiers that are in compliance with HIPAA requirements.

### Performance Evaluation

LHCF evaluates performance against established project specific metrics. Given the brevity of the open enrollment period, weekly reviews of project elements such as number of appointments made and completed, number of enrollments completed and number of events supported will be ongoing throughout the project term by the project management team.

### Quality Improvement

LHCF will continuously review and make decisions on program quality and effectiveness during its weekly reporting. In addition, the following program quality improvement activities are:

- LHCF will hold periodic meetings to get feedback from enrollers, as well ensure enrollers feel comfortable using the systems and techniques in the enrollment process.
- Clients will be randomly (20 random a month) surveyed as to the performance of the assistor/enrollers during their appointment. A simple survey of a few questions (no more than five question but no less than three) to gauge the clients experience during their enrollment process. Results will be summarized and provided to COA project management staff for review.

### Service Coordination with Other Agencies

Service referral is a continuous, ongoing activity of the LHCF; LHCF regularly refers clients to services, including, but not limited to food banks, community clinics, schools, United Way, SIMS, Access, and MAP. Specific to enrollment efforts, LHCF maintains relationships with City and County departments, media outlets, community partners, and other service providers where future enrollment efforts could take place, for example, including but not limited to schools, family resource centers, and cultural centers such as the MACC and the Asian American Resource Center.

LHCF is currently evaluating the possibility of participating in the Enroll ATX collaborative. Also, if participating with Enroll ATX, that will include working with 211's functionality, 211 being a multi-county, consumer call center provisioned by United

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## ***Program Work Statement***

*Contract Start Date*      10/1/2015      *Contract End Date*      9/30/2016

Way.

### ***Service Collaboration with Other Agencies***

No formal collaborations exist within this contract.

### ***Community Planning Activities***

The mission of the LHCF is to advocate for community resources. LHCF is a participant in a variety of community planning activities in various roles ranging from participants to facilitators. LHCF participates in workgroup meetings such as the Central Health Equity Policy Council, the Community Care Collaborative, PATH conference, and City-sponsored events, e.g. Spirit of East Austin.

LHCF provides input to other groups and organizations such as family resource centers and coalitions surrounding schools such as Martin and Mendez, major institutions, service providers and contact teams.

## Program Performance Measures

Contract Start  
10/1/2015

Contract End  
9/30/2016

Period Performance Start  
10/1/2015

Period Performance End  
9/30/2016

### Outputs

OP #	Output Measure Description	Period Goal		
		City	Other	Total
1	Total Number of Unduplicated Clients Served	725		725
2	Total number of unduplicated clients provided enrollment assistance	1450		1450
3	Total Number of Clients Reached Through Outreach Events	1476		1476
4	Total Number of Outreach Events	21		21

## Program Performance Measures

*Contract Start*  
10/1/2015

*Contract End*  
9/30/2016

*Period Performance Start*  
10/1/2015

*Period Performance End*  
9/30/2016

### Outcomes

<i>OC Item</i>	<i>Outcome Measure Description</i>	<i>Total Program Goal</i>
1 Num	Number of individuals obtaining or maintaining public benefits	725
1 Den	Number of individuals in program	1450
1 Rate	Percent of individuals who obtain or maintain public benefits	50



## Program Budget and Narrative

Program Start 10/1/2015  
Program End 9/30/2016

	City Share	Other	Total
Salary plus Benefits	\$48,335.00	\$0.00	\$48,335.00
General Operations Expenses	\$9,665.00	\$0.00	\$9,665.00
Program Subcontractors	\$0.00	\$0.00	\$0.00
Staff Travel	\$0.00	\$0.00	\$0.00
Conferences	\$0.00	\$0.00	\$0.00
Operations SubTotal	\$9,665.00	\$0.00	\$9,665.00
Food and Beverages for Clients	\$0.00	\$0.00	\$0.00
Financial Direct Assistance to Clients	\$0.00	\$0.00	\$0.00
Other Assistance	Please Specify	Please Specify	Please Specify
Other Assistance Amount	\$0.00	\$0.00	\$0.00
Direct Assistance SubTotal	\$0.00	\$0.00	\$0.00
Capital Outlay Amount	\$0.00	\$0.00	\$0.00
Total	\$58,000.00	\$0.00	\$58,000.00

### Detailed Budget Narrative

#### Salaries plus Benefits

Part time outreach/enrollment staff, 1 full time coordinator, part time support staff including accounting, CEO, COO, CAO, CTO and CSO. Benefits include paid Holidays and PTO.

#### General Op Expenses

Rent, utilities, telecommunications, maintenance, mileage, printing, promotions, supplies and equipment.

#### Program Subcontractors

#### Staff Travel

#### Conferences

#### Food and Beverage

#### Financial Assistance

#### Other Assistance

#### Capital Outlay



Amendment No. 3  
to  
Agreement No. NG160000005  
for  
Social Services  
between  
**LATINO HEALTHCARE FORUM**  
and the  
**CITY OF AUSTIN**  
(Secure Your Health)

- 1.0 The City of Austin and the Grantee hereby agree to the Agreement revisions listed below.
- 2.0 The total amount for this Amendment to the Agreement is **One Hundred Twenty Five Thousand dollars (\$125,000)**. The total Agreement amount is recapped below:

Term	Agreement Change Amount	Total Agreement Amount
Basic Term: (Oct. 1, 2015 – Sept. 30, 2016)	n/a	\$ 58,000
Amendment No. 1: Add Funding to Agreement and Add Three 12-Mos. Extension Options	\$ 142,000	\$ 200,000
Amendment No. 2: Exercise Extension Option #1 (Oct. 1, 2016 – Sept. 30, 2017)	\$200,000	\$400,000
Amendment No. 3: Exercise Extension Option #2 (Oct. 1, 2017 – Sept. 30, 2018)	\$ 125,000	\$ 525,000

- 3.0 The following changes have been made to the original Agreement EXHIBITS:

**Exhibit A.1 -- Program Work Statement** is deleted in its entirety and replaced with a new **Exhibit A.1 -- Program Work Statement**. [Revised 10/23/2017]

**Exhibit A.2 -- Program Performance Measures** is deleted in its entirety and replaced with a new **Exhibit A.2 -- Program Performance Measures**. [Revised 11/2/2017]

**Exhibit B.1 -- Program Budget and Narrative** is deleted in its entirety and replaced with a new **Exhibit B.1 -- Program Budget and Narrative**. [Revised 10/23/2017]

- 4.0 The following Terms and Conditions have been MODIFIED:

Section 4.1.2 Payment to the Grantee shall be made in the following increments:



4.1.2.1 For the Program Period of 10/1/2017 through 9/30/2018, the payment from the City to the Grantee shall not exceed \$125,000 (One Hundred Twenty Five Thousand dollars).

- 5.0 MBE/WBE goals were not established for this Agreement.
- 6.0 Based on the criteria in the City of Austin Living Wage Resolution #020509-91, the Living Wage requirement does not apply to this Agreement.
- 7.0 By signing this Amendment, the Grantee certifies that the Grantee and its principals are not currently suspended or debarred from doing business with the Federal Government, as indicated by the Exclusion records found at SAM.gov, the State of Texas, or the City of Austin.
- 8.0 All other Agreement terms and conditions remain the same.

BY THE SIGNATURES affixed below, this Amendment is hereby incorporated into and made a part of the above-referenced Agreement.

**GRANTEE**

Signature:

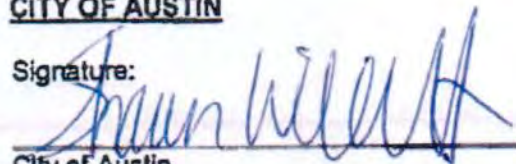


LATINO HEALTHCARE FORUM  
Jill Ramirez, Chief Executive Officer  
6601 Felix Ave.  
Austin, TX 78741

Date: 11-3-17

**CITY OF AUSTIN**

Signature:



City of Austin  
Purchasing Office  
PO Box 1088  
Austin, TX 78767

Date: 11/28/17

## Program Work Statement

Contract Start Date

10/1/2015

Contract End Date

9/30/2018

### Program Goals And Objectives

Latino HealthCare Forum (LHCF) provides in-person education, enrollment, and Affordable Care Act (ACA) insurance navigation services in the Austin area. The Secure Your Health program educates clients about the ACA and subsidized insurance options; walks consumers through the entire enrollment and plan selection process; and helps the newly insured maintain and use their insurance.

Contract goals include:

- 1) Educate Austin and Travis County individuals about ACA and Marketplace insurance options as well as subsidized insurance options such as CHIP, Medicaid and Medicare, and
- 2) Reduce the number of uninsured and underinsured residents by enrolling individuals in Marketplace and subsidized plans

### Program Clients Served

This Agreement is exempt from City of Austin Client Eligibility Requirements found in Exhibit A.3. The program is required to serve all clients who are interested in enrollment support, regardless of residency or income. While services are open to anyone and there are no income or geographic restrictions, LHCF primarily serves vulnerable minority populations, populations with limited English proficiency, and households with incomes at or below 200% FPL who live in Austin/Travis County. The primary target of LHCF's campaign is the Latino uninsured residents in select zip codes in Austin/Travis County which is upwards of over 100,000. Of these 100,000, at least 30,000 continue to qualify for the insurance marketplace and about 25% require face-to-face assistance.

The program targets individuals who are eligible for:

- 1) Any subsidized program (marketplace subsidy, Medicaid, Medicare, etc.) and
- 2) Non-subsidized individual marketplace.

When City of Austin monitors come on-site to review enrollment client files, LHCF will be able to provide the following information for a subset of clients who reside in Austin/Travis County and who have projected incomes for the following year to be less than 200% FPL in the performance spreadsheet:

- Client Identifier
- Zip Code
- Gender
- Race
- Date of Birth or Age

Reporting relative to Outreach / Education data collected consists of:

- Date of Event
- Name of Event
- Location of Event / Address and Zip Code
- Contact at Event
- Number of participants at event
- Number of individuals assisted at event (clients reached at any event)

### Program Services And Delivery

The Secure Your Health program will achieve its goals by employing Outreach and Enrollment Specialists (OES) who reflect the cultural and linguistic diversity of the target population. The OES will be trained to be knowledgeable of both subsidized and non-subsidized health coverage and qualified health plans. Certified Application Counselors will be equipped with the information and expertise needed to successfully educate and enroll individuals in coverage regardless of the type of program for which they are eligible. OES will adhere to a code of conduct, confidentiality and guideline agreements, and quality assurance standards and protocols.

The program will provide a seamless, "no wrong door" consumer experience regardless of residency or other qualifications. It will promote the retention of existing insurance coverage in public programs.

The work of OES will be divided into two types of activities:

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## ***Program Work Statement***

***Contract Start Date***

10/1/2015

***Contract End Date***

9/30/2018

- a) The OES group will drive consumers to outreach, education, and enrollment activities; and
- b) The OES group will provide in-person assistance for enrollment into a qualified health plan.

### **OUTREACH & EDUCATION**

- LHCF will target individuals in the potential population through culturally competent, consumer driven marketing strategies, with multi-faceted campaigns with focus at the local level
- LHCF will tailor outreach to meet needs of different groups of the uninsured, especially those who are hardest to reach, involving representatives from the targeted communities to assure that the message is responsive and culturally competent
- LHCF will facilitate outreach and education through public and private partnerships
- LHCF will ensure access to care through person-to-person contacts

#### **Outreach and Education Components:**

- a. Identify and understand the eligible population
- b. Increase public awareness of marketplace options
- c. Increase understanding of marketplace eligibility
- d. Educate individuals about the marketplace
- e. Motivate individuals to take action to find out more about, or enroll in, the marketplace.
- f. Communication: Marketing materials, advertising, events, flyers/brochures, fact sheets/cards, posters and social media.

### **ENROLLMENT & NAVIGATION**

LHCF enrollment assistance takes many forms at various times in the process of enrollment.

Enrollment in the ACA is possible to be completed using various methods including paper application, on-line electronic application submission and over-the-phone applications. All methods require the submission of specific eligibility documentation at the time of application and/or within a required period of time as specified. No application is considered complete without this required documentation. LHCF provides application assistance in support of any means selected by the client.

LHCF achieves this by:

- Client support via phone
- Client support in person

LHCF provides clients pre-application, application and post ACA application support. This assistance includes assessing health coverage needs for the client and/or family members, discussing options for their coverage and available community providers by plan, getting a health plan member card, explaining the monthly premium statement, reporting of life changes to ACA, adding new family members to the plan and other navigation assistance.

Due to the shortened enrollment period (Nov 1st to Dec 15) most of the LHCF efforts would be during this period. However the residents along the eastern crescent have a high mobility and changes (they change residence and jobs frequently) the LHCF will continue offering special enrollment services.

### ***System for Collecting and Reporting Program Data***

LHCF will be utilizing the Enroll ATX tool that is customizable and will enable LHCF to gather and report data, as per HIPAA and City of Austin requirements. During a site visit, LHCF will provide a spreadsheet roster of unduplicated client identifiers that are in compliance with HIPAA requirements.

Any and all data collected are in compliance with provisions of the Affordable Care Act (ACA) and state Community Partnership Program Assistor requirements. Underlying compliance requirements are those of HIPAA guidelines in dealing with personal health information provisions.

At all outreach events clients have the option of filling out a card with their name, phone number, zip code, email, gender and age (LHCF does not use signing sheets in order to comply with HIPAA requirements). Once the cards are collected, LHCF CAC's follow up with this clients in order to answer specific question or setup and enrollment appointment. The result of this calls is documented in our data reporting systems, which later on will help LHCF in doing follow-up and reporting.

When clients come to the LHCF offices, they complete forms and sign off authorization providing demographic information.

***Created*** 11/9/2016 5:36:00 PM

***Last Modified, If Applicable*** 10/23/2017 3:42:00 PM



## ***Program Work Statement***

***Contract Start Date***

10/1/2015

***Contract End Date***

9/30/2018

Following appointments, clients' information is input into a database on a secure Google drive, which is transferred to the City quarterly.

### ***Performance Evaluation***

LHCF evaluates performance against established project specific metrics. Given the brevity of the open enrollment period, weekly reviews of project elements such as number of appointments made and completed, number of enrollments completed and number of events supported will be ongoing throughout the project term by the project management team.

### ***Quality Improvement***

LHCF will continuously review and make decisions on program quality and effectiveness during its internal weekly reporting. In addition, LHCF will implement the following program quality improvement activities:

- LHCF will hold weekly meetings to get feedback from enrollers, as well as ensure enrollers feel comfortable using the systems and techniques in the enrollment process. An hour weekly meetings are a key part of the work for coordinating and organizing events and keep track of metrics.
- LHCF will randomly survey clients (20 per month during open enrollment) as to the performance of the assistor/enrollers during their appointments. A simple survey of a few questions (no more than five to six questions) to gauge the clients experience during their enrollment process. Results will be summarized and provided to COA project management staff for review.

### ***Service Coordination with Other Agencies***

Service referral is a continuous, ongoing activity of the LHCF; LHCF regularly refers clients to services, including, but not limited to food banks, community clinics, schools, United Way, SIMS, Access, and MAP. Specific to enrollment efforts, LHCF maintains relationships with City and County departments, media outlets, community partners, and other service providers where future enrollment efforts could take place, for example, including but not limited to schools, family resource centers, and cultural centers such as the MACC and the Asian American Resource Center.

LHCF will be utilizing the Enroll ATX collaborative which means working with 211's functionality as a resources call center as well as providing appointment generation / scheduling for callers with LHCF, 211 being a multi-county, consumer call center provisioned by United Way.

### ***Service Collaboration with Other Agencies***

No formal collaborations exist within this contract.

### ***Community Planning Activities***

The mission of the LHCF is to advocate on behalf of low income, minority and refugee community members in Austin for access to and availability of community health related resources. LHCF staff members participate in a variety of community planning activities in various roles ranging from participants to facilitators in community engagement processes. LHCF participates in workgroup meetings such as the Central Health Equity Policy Council, and City-sponsored events, e.g. Spirit of East Austin, and other community based organizations in different targeted areas of the most needy of the area's population groups who are affected by health disparities.

LHCF provides input and support to other community groups and organizations such as family resource centers and coalitions surrounding schools such as Martin, Dobie, Lanier and Mendez, major institutions, service providers and contact teams.

*Created 11/9/2016 5:36:00 PM**Last Modified, If Applicable 10/23/2017 3:42:00 PM*

**Program Performance Measures**

**Contract Start**  
10/1/2015

**Contract End**  
9/30/2018

**Period Performance Start**  
10/1/2017

**Period Performance End**  
9/30/2018

**Outputs**

<b>OP #</b>	<b>Output Measure Description</b>	<b>Period Goal</b>		
		<b>City</b>	<b>Other</b>	<b>Total</b>
1	Total Number of Unduplicated Clients Served	3000		3000
2	Total number of unduplicated individuals enrolled in a Marketplace plan or subsidized plan (CHIP, Medicaid, Medicare)	800		800
3	Total number of households who complete appointments for insurance enrollment	400		400
4	Total number of outreach events	250		250

Created: 10/20/2017 9:58:00 AM

Last Modified, If Applicable: 11/2/2017 8:35:00 AM

## Program Performance Measures

**Contract Start**  
10/1/2015

**Contract End**  
9/30/2018

**Period Performance Start**  
10/1/2017

**Period Performance End**  
9/30/2018

### Outcomes

<b>OC Item</b>	<b>Outcome Measure Description</b>	<b>Total Program Goal</b>
1 Num	Number of individuals obtaining or maintaining public benefits	800
1 Den	Number of individuals in program	950
1 Rate	Percent of individuals who obtain or maintain public benefits	84.21



## Program Budget and Narrative

Program Start 10/1/2017  
Program End 9/30/2018

	City Share	Other	Total
<b>Salary plus Benefits</b>	<b>\$80,372.00</b>	<b>\$0.00</b>	<b>\$80,372.00</b>
General Operations Expenses	\$44,028.00	\$0.00	\$44,028.00
Program Subgrantees	\$0.00	\$0.00	\$0.00
Staff Travel	\$300.00	\$0.00	\$300.00
Conferences	\$300.00	\$0.00	\$300.00
<b>Operations SubTotal</b>	<b>\$44,628.00</b>	<b>\$0.00</b>	<b>\$44,628.00</b>
Food and Beverages for Clients	\$0.00	\$0.00	\$0.00
Financial Direct Assistance to Clients	\$0.00	\$0.00	\$0.00
Other Assistance	Please Specify	Please Specify	Please Specify
Other Assistance Amount	\$0.00	\$0.00	\$0.00
<b>Direct Assistance SubTotal</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>
<b>Capital Outlay Amount</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>
<b>Total</b>	<b>\$125,000.00</b>	<b>\$0.00</b>	<b>\$125,000.00</b>

### Detailed Budget Narrative

#### Salaries plus Benefits

Salaries, benefits and employment taxes for full time and part time staff working on the program

#### General Op Expenses

Occupancy, utilities, insurance, printing, postage, office supplies, telephone, internet, certification for Certified Application Counselors, accounting fees, audit fees, contracted IT maintenance and enrollment services

#### Program Subgrantees

#### Staff Travel

Travel costs to conferences and trainings outside of Travis County, related to the Secure Your Health program

#### Conferences

Registration fees, meals, hotel stays to conferences and trainings outside of Travis County, related to the Secure Your Health program

#### Food and Beverage

#### Financial Assistance

#### Other Assistance

#### Capital Outlay

Created 10/20/2017 9:56:00 AM

Last Modified, If Applicable 10/23/2017 3:41:00 PM



## **M E M O R A N D U M**

**City of Austin  
Financial & Administrative Services Department  
Purchasing Office**

**DATE:** 02/29/16

**TO:** Memo to File

**FROM:** Marty James, Buyer II

**RE:** MA 9100 NG160000022 LATINO HEALTHCARE FORUM

Please note this agreement was created by the Health and Human Service Department (HHSD) and is administered and maintained by same. There is no procurement function other than the creation of the payment vehicle.





# PURCHASE ORDER

PO VENDOR SINGLE

PAGE NO: 1

REFERENCE NUMBER: DO 9100 16022608723

P.O DATE: 02/26/16

PRICE AGREEMENT #: MA 9100 NG160000022

V Frank Marines Rodriguez  
E V00000916205 A00000063392  
N Latino HealthCare Forum  
D 6601 Felix Ave.  
O  
R Austin TX 78741

S  
H  
I  
P  
T  
O

B Health & Human Services Dept  
I  
L ACCOUNTING SERVICES  
L PO BOX 1088  
Austin TX 78767  
T  
O

Requestor: Leslie Boyd, 972-5036  
Buyer: See Solicitation, 512-974-2500

The City's standard purchase terms and conditions are hereby incorporated into this order by reference, with the same force and effect as if they were incorporated in full text. The full versions are available at [https://www.austintexas.gov/financeonline/vendor\\_connection/index.cfm#STANDARDBIDDOCUMENTS](https://www.austintexas.gov/financeonline/vendor_connection/index.cfm#STANDARDBIDDOCUMENTS) or call the Purchasing Office at (512) 974-2500. Please include above reference number on all packages, deliveries, and invoices.

Line	Quantity	Unit	Commodity Information / Description (s)	Unit Price	Extended Amount
1			<b>Commodity:</b> 95243 Restore Rundberg Social Services Deliverables agreement Through the Restore Rundberg program, the Latino Healthcare Forum will take a broader view of data (social determinants of health and health disparities).	0.000000	\$ 175,000.00

Order Total: \$ 175,000.00

## VENDOR INSTRUCTIONS:

1. SEND ORIGINAL INVOICE WITH DUPLICATE COPY TO THE CITY DEPARTMENT TO WHICH THE GOOD(S) WERE DELIVERED.
2. SHIPPING INSTRUCTIONS: F.O.B. DESTINATION UNLESS OTHERWISE SPECIFIED.
3. NO FEDERAL OR STATE SALES TAX SHALL BE INCLUDED IN PRICES BILLED. LIMITED SALES TAX #74-6000085.

Authorized Agent for City Manager

By acceptance of this purchase order, you agree to comply with the terms and conditions incorporated herein by reference and made a part of this order.

02-26-16

Date

# ROUTING SLIP FOR City of Austin Purchasing

**TO:** Marty James, Buyer, Purchasing Dept.

**FROM:** Leslie Boyd, Grants Program Manager, HHSD Campus, Bldg. H

**DOCUMENT:** New Social Services Deliverables Agreement with Latino Healthcare Forum for the Restore Rundberg program

**Vendor Name:** Latino Healthcare Forum

**Vendor Code:** V00000916205

(For EXISTING Agreements Only)>>

**Agreement (Master Agreement) Number:**

TBD

**Annual Agreement Term:** 2/1/2016 - 1/31/2017

**Total Agreement Term:** 2/1/2016 - 1/31/2017

**Agreement (Term/Amendment) Amount:** \$175,000.00

**Total Agreement Amount:** \$175,000.00

(For NEW Agreements Only)>>

**Is Agreement Subject to HB1295? (Y/N)** Yes

**Competitive Award? (Y/N)** No

**If Yes, Number of Bids Received?**

**No. of vendors solicited?**

**Replaces another MA? (Y/N)** Yes

**If Yes, MA Number:**

CT 9100

14122600186

**Commodity Code:** 95243

**CL Description/Program Name:**

Restore Rundberg Phase II

**PROGRAM DESCRIPTION:**

Through the Restore Rundberg program, the Latino Healthcare Forum will take a broader view of data (social determinants of health and health disparities) to review and propose strategies focused on addressing persistent crime, physical and social disorder including substantial population migration and immigration, community engagement (including cultural and linguistic barriers), at-risk youth, and the community's relationship with police.

**RQM Text:**

**RQS/RQM No.**

Request to execute a new Social Services Deliverables agreement with Latino Healthcare Forum for a 12-mos. period beginning 2/1/2016 through 1/31/2017. There are no authorized extension options.

**DO Instructions:**

Request to encumber \$175,000 in FY15-16 general funds for the period of 2/1/2016-1/31/2017.

CODE	Fund	Dept	Unit	Object	Grant Program	Program Period	Program Number	Amount
Commodity Line 01	1000	4700	6201 6491	6825				\$175,000

**Encumbrance Period:** 2/1/2016 - 1/31/2017

**Documents Attached:**

☒ Agreement/Amendment

☒ Approved Insurance Certificates

☒ Debarment/Suspension Forms

☒ RCA/Council Resolution

☒ Risk Manager approval

☒ Form 1295 Certificate

**APPROVALS**

**Requestor:** Leslie Boyd, Grants Program Manager, Social Services Policy Unit

LB

**DATE:** 2/17/2016

**Contract Manager:** Keith Henry

*Keith Henry*

**DATE:** 2/17/2016

**\*(For Agreement Execution Only) I acknowledge that I have sent an electronic copy of the Purchasing Routing Slip for the attached Agreement to the Contract Compliance Unit at HHSDCCU@austintexas.gov and to Glenn Selfe at glenn.selfe@austintexas.gov.**

**SSP Research**

**Analyst:**

*[Signature]*

**DATE:** 17 FEB 2016

**SSP Financial**

**Specialist:**

*New funding was placed in unit 6201  
6491 is the appropriate unit.*

**DATE:** 2/17/16

**SSP Manager:**

*[Signature]*

**DATE:** 2/18/16

**Deputy**

**Director:**

*[Signature]*

**DATE:** 2/19/16

**Budget:**

*[Signature]*

**DATE:** 2/22/16

**Asst. Director,**

**Admin. Svcs.:**

*[Signature]*

**DATE:** 2/23/16

**ADDITIONAL INFORMATION:**

HHSD Director signature not required. Please return to Leslie Boyd, HHSD Campus, Bldg. H (512-972-5036)

Approved 5/24/2012; Revised 2/9/2016



# AGENDA



## Recommendation for Council Action

Austin City Council	Item ID	54090	Agenda Number	24.
Meeting Date:	1/28/2016	Department:	Health and Human Services	

### Subject

Approve the negotiation and execution of a contract with LATINO HEALTHCARE FORUM to implement health improvement strategies for a 12-month term from February 1, 2016 through January 31, 2017, in an amount not to exceed \$175,000, for a total contract amount not to exceed \$175,000.

### Amount and Source of Funding

Funding in the amount of \$175,000 is included in the Fiscal Year 2015-2016 Operating Budget of the Health and Human Services Department.

### Fiscal Note

A fiscal note is not required.

Purchasing Language:	
Prior Council Action:	On September 8, 2015, Council approved Ordinance No. 20150908-001 adopting the Fiscal Year 2015-2016 Operating Budget.
For More Information:	Stephanie Hayden, Deputy Director, Human Services, 972-5017; Robert Kingham, HHS Manager, 972-5026; Elena Lloyd, Agenda Coordinator, 972-5033.
Council Committee, Boards and Commission Action:	
MBE / WBE:	
Related Items:	

### Additional Backup Information

In response to the Fiscal Year 2012 Byrne Criminal Justice Innovation solicitation, the City selected the Rundberg neighborhood for additional resources in order to address the significant incidents of crime in that area. Austin's Rundberg corridor is defined as: Research Boulevard/Anderson Lane to the south; railroad tracks (just west of Metric) and Lamar to the west; Interstate 35 and Cameron Road to the east; and, Rutland Drive, Braker Lane, Floradale Drive, and Applegate Drive to the north. It encompasses 5.74 square miles, or 2% of the city, and is home to 5% of the city's population.

Residents in the Rundberg corridor are leading this revitalization effort, termed Restore Rundberg, and its mission is to improve the quality of life, health, safety, education, and well-being of individuals living and working in the Rundberg neighborhood. Restore Rundberg is a partnership between neighborhoods, the community, government, higher education, public safety, researchers, and stakeholder groups. The goal is to develop innovative crime solutions and complementary social services. One of the priorities of the Restore Rundberg initiative is the development of a Hybrid Community and Health Center in the Georgian Acres/North Lamar areas.

The LATINO HEALTHCARE FORUM conducted a data driven community health assessment (CHA) in the Rundberg area in Fiscal Year 2015. The CHA had five components: Quantitative & Demographic Analysis, Qualitative Research & Surveys, Community Outreach & Social Media, Community Asset Mapping & Stakeholder Analysis, and Recommendations for Future Planning & Prioritized Efforts.

The LATINO HEALTHCARE FORUM will implement four activity areas identified in the CHA: Direct Service & Workforce Development, Planning Community Innovation Zone, Language & Resource Directory Mobile Application, and Planning for the Next Phase of Health Planning

Performance Measures, as well as contract exhibits, will be negotiated with the LATINO HEALTHCARE FORUM staff. In a preliminary discussion, the following performance measures were identified:

- 1) Train-the-trainer Community Health Worker (CHW) Training
  - a. A 250-hour state-required training requiring pay for a three-month period
  - b. Materials, overhead, printouts, etc.
  - c. Childcare services
  - d. Translator services (Spanish & possibly Arabic and/or Burmese)
- 2) CHW Training for 20 students
- 3) Employment of 4.5 FTE Community Health Workers
  - a. Advocacy and service navigation
  - b. Programming to reflect priority areas identified in study
- 4) Technology to address language obstacles and help others overcome digital divide (note: private support in the amount of \$75,000 for services are being obtained from a major technology company)

Related Departmental Goal: Social Services – Promote a healthy community by addressing the needs of vulnerable households.



**AGREEMENT BETWEEN  
THE CITY OF AUSTIN  
AND  
LATINO HEALTHCARE FORUM  
FOR  
SOCIAL SERVICES (DELIVERABLES AGREEMENT)  
AGREEMENT NO. NG160000022  
AGREEMENT AMOUNT: \$175,000**

This Agreement is made by and between the City of Austin ("City") acting by and through its Health and Human Services Department ("HHSD"), a home-rule municipality incorporated by the State of Texas, and Latino HealthCare Forum ("Grantee"), a Texas non-profit corporation, having offices at 6601 Felix Ave., Austin, TX 78741.

**SECTION 1. GRANT OF AUTHORITY, SERVICES AND DUTIES**

1.1 **Engagement of the Grantee.** Subject to the general supervision and control of the City and subject to the provisions of the Terms and Conditions contained herein, the Grantee is engaged to provide the services set forth in the Program Work Statement, attached hereto as Exhibit A.1.

1.2 **Responsibilities of the Grantee.** The Grantee shall provide all technical and professional expertise, knowledge, management, and other resources required for accomplishing all aspects of the tasks and associated activities identified in the Program Work Statement. The Grantee shall assure that all Agreement provisions are met by the Subgrantee.

1.3 **Responsibilities of the City.** The City's Agreement Manager will be responsible for exercising for oversight and monitoring of Grantee's performance under this Agreement.

1.4.1 City's Agreement Manager, Keith Henry or designee:

- may meet with Grantee to discuss any operational issues or the status of the services or work to be performed; and

- shall promptly review all written reports submitted by Grantee, determine whether the reports comply with the terms of this Agreement, and give Grantee timely feedback on the adequacy of progress and task reports or necessary additional information.

1.4.2 Grantee's Agreement Manager, Jill Ramirez, Chief Executive Officer, shall represent the Grantee with regard to performance of this Agreement and shall be the designated point of contact for the City's Agreement Manager.

1.4 general oversight of the Grantee's activities in completing the Program Work Statement. Specifically, the Agreement Manager will represent the City's interests in resolving day-to-day issues that may arise during the term of this Agreement, shall participate regularly in conference calls or meetings for status reporting, shall promptly review any written reports submitted by the Grantee, and shall approve all requests for payment, as appropriate. The City's Agreement Manager shall give the Grantee timely feedback on the acceptability of progress and task reports.



- 1.5 **Designation of Key Personnel.** City's Agreement Manager for this Agreement shall be responsible  
1.4.3 If either party replaces its Agreement Manager, that party shall promptly send written notice of the change to the other party. The notice shall identify a qualified and competent replacement and provide contact information.

## **SECTION 2. TERM**

- 2.1 **Term of Agreement.** The Agreement shall be in effect for a term of twelve (12) months beginning February 1, 2016 through January 31, 2017. There are no authorized extension options.
- 2.1.1 Upon expiration of the initial term or period of extension, the Grantee agrees to hold over under the terms and conditions of this Agreement for such a period of time as is reasonably necessary to re-solicit and/or complete the project (not to exceed 120 calendar days unless mutually agreed on in writing).

## **SECTION 3. PROGRAM WORK STATEMENT**

- 3.1 **Grantee's Obligations.** The Grantee shall fully and timely provide all services described in Exhibit A.1, Program Work Statement in strict accordance with the terms, covenants, and conditions of the Agreement and all applicable Federal, State, and local laws, rules, and regulations.

## **SECTION 4. COMPENSATION AND REPORTING**

- 4.1 **Agreement Amount.** The Grantee acknowledges and agrees that, notwithstanding any other provision of this Agreement, the maximum amount payable by City under this Agreement for the initial twelve (12) month term shall not exceed the amount approved by City Council, which is **\$175,000 (One Hundred Seventy Five Thousand dollars)**, for a total Agreement amount of \$175,000. Continuation of the Agreement beyond the initial twelve (12) months is specifically contingent upon the availability and allocation of funding by City Council.

- 4.2 **Requests for Payment.**

Payment to the Grantee shall be due thirty (30) calendar days following receipt by City's Agreement Manager of Grantee's fully and accurately completed "Payment Request" and "Monthly Expenditure Report", using the forms shown at <http://www.ckkodm.com/austin/>. The payment request and expenditure report must be submitted to the City's Agreement Manager no later than fifteen (15) calendar days following the end of the month covered by the request and expenditure report. **If the fifteenth (15<sup>th</sup>) calendar day falls on a weekend or holiday, as outlined in Section 8.24, the deadline to submit the payment request and expenditure report is extended to no later than 5:00 p.m. Central Time of the first (1<sup>st</sup>) weekday immediately following the weekend or holiday.**

**Grantee must provide the City with supporting documentation as described in Exhibit A.1, Program Work Statement for each monthly Payment Request where an agreement deliverable is being submitted.**

**The City retains right of final approval of any supporting documentation submitted before a Payment Request is approved for processing. Failure to provide supporting documentation acceptable to the City may result in delay or rejection of the Payment Request. The City reserves the right to modify the required supporting documentation from time to time, as needed.**

- 4.3 **Payment.**

4.3.1 All proper requests for payment received by the City will be paid within thirty (30) calendar days of the City's receipt of the deliverables or of the invoice, whichever is later. Requests for Payment received without all required information cannot be processed and will be returned to the Grantee.

4.3.2 If payment is not timely made, (per this paragraph), interest shall accrue on the unpaid balance at the lesser of the rate specified in Texas Government Code Section 2251.025 or the maximum lawful rate; except, if payment is not timely made for a reason for which the City may withhold payment hereunder, interest shall not accrue until ten (10) calendar days after the grounds for withholding payment have been resolved.

4.3.3 The City may withhold or set off the entire payment or part of any payment otherwise due the Grantee to such extent as may be necessary on account of;

4.3.3.1 delivery of unsatisfactory services by the Grantee;

4.3.3.2 third party claims, which are not covered by the insurance which the Grantee is required to provide, are filed or reasonable evidence indicating probable filing of such claims;

4.3.3.3 failure of the Grantee to pay Subgrantees, or for labor, materials or equipment,

4.3.3.4 damage to the property of the City or the City's agents, employees or Grantees, which is not covered by insurance required to be provided by the Grantee;

4.3.3.5 reasonable evidence that the Grantee's obligations will not be completed within the time specified in the Agreement, and that the unpaid balance would not be adequate to cover actual or liquidated damages for the anticipated delay;

4.3.3.6 failure of the Grantee to submit proper payment requests and expenditure reports with all required attachments and supporting documentation; or

4.3.3.7 failure of the Grantee to comply with any material provision of the Agreement.

4.3.4 Notice is hereby given of Article VIII, Section 1 of the Austin City Charter which prohibits the payment of any money to any person, firm or corporation who is in arrears to the City for taxes, and of §2-8-3 of the Austin City Code concerning the right of the City to offset indebtedness owed the City. Payment will be made by check unless the parties mutually agree to payment by electronic transfer of funds.

4.4 **Non-Appropriation.** The awarding or continuation of this Agreement is dependent upon the availability of funding. The City's payment obligations are payable only and solely from funds Appropriated and available for this Agreement. The absence of Appropriated or other lawfully available funds shall render the Agreement null and void to the extent funds are not Appropriated or available and any deliverables delivered but unpaid shall be returned to the Grantee. The City shall provide the Grantee written notice of the failure of the City to make an adequate appropriation for any fiscal year to pay the amounts due under the Agreement, or the reduction of any appropriation to an amount insufficient to permit the City to pay its obligations under the Agreement. In the event of non or inadequate appropriation of funds, there will be no penalty nor removal fees charged to the City.

4.5 **Final Payment and Close-Out.**

4.5.1 The making and acceptance of final payment will constitute:

4.5.1.1 a waiver of all claims by the City against the Grantee, except claims (1) which have been previously asserted in writing and not yet settled, (2) arising from defective work appearing after final inspection, (3) arising from failure of the Grantee to comply with the Agreement or the terms of any warranty specified herein, (4) arising from the Grantee's continuing obligations under the Agreement, including but not limited to indemnity and warranty obligations, or (5) arising under the City's right to audit; and

4.5.1.2 a waiver of all claims by the Grantee against the City other than those previously asserted in writing and not yet settled.

4.6 **Financial Terms.**

4.6.1 City agrees to pay Grantee for services rendered under this Agreement and to reimburse Grantee according to the payment schedule identified in Exhibit A.1, Program Work Statement.



4.6.2 City's obligation to pay is subject to the timely receipt of complete and accurate reports as set forth in Exhibit A.1, Program Work Statement, and any other deliverable required under this Agreement.

4.6.3 Payments to the Grantee will immediately be suspended upon the occasion of any late, incomplete, or inaccurate report, audit, or other required report or deliverable under this Agreement, and payments will not be resumed until the Grantee is in full compliance.

4.6.4 City shall not be liable to Grantee for any costs which have been paid under other agreements or from other funds. In addition, City shall not be liable for any costs incurred by Grantee which were: a) incurred prior to the effective date of this Agreement, or b) not billed to City within sixty (60) calendar days following termination date of this Agreement.

4.6.5 Grantee agrees to refund to City any funds paid under this Agreement which City determines have resulted in overpayment to Grantee or which City determines have not been spent by Grantee in accordance with the terms of this Agreement. Refunds shall be made by Grantee within thirty (30) calendar days after a written refund request is submitted by City. City may, at its discretion, offset refunds due from any payment due Grantee, and City may also deduct any loss, cost, or expense caused by Grantee from funds otherwise due.

4.6.6 Grantee shall deposit and maintain all funds received under this Agreement in either a separate numbered bank account or a general operating account, either of which shall be supported with the maintenance of a separate accounting with a specific chart which reflects specific revenues and expenditures for the monies received under this Agreement. The Grantee's accounting system must identify the specific expenditures, or portions of expenditures, against which funds under this Agreement are disbursed.

4.6.7 Grantee is required to utilize an online agreement management system for billing and reporting in accordance with City guidelines, policies, and procedures. Grantee is responsible for all data entered/edited under its unique username, as well as all required but omitted data.

#### 4.7 **Reports.**

4.7.1 Grantee must submit a fully and accurately completed "Payment Request" and "Monthly Expenditure Report" to the City's Agreement Manager using the forms shown at <http://www.ckodm.com/austin/> by the deadline outlined in section 4.2. Grantee must provide complete and accurate supporting documentation. Upon receipt and approval by the City of each complete and accurate Payment Request and Monthly Expenditure Report, the City shall process payment to the Grantee of an amount equal to City's payment obligations, subject to deduction for any unallowable costs.

4.7.2 An annual Agreement closeout report using the forms shown at <http://www.ckodm.com/austin/> shall be completed by the Grantee and submitted to the City within sixty (60) calendar days following the expiration or termination of this Agreement. Any encumbrances of funds incurred prior to the date of termination of this Agreement shall be subject to verification by City. Upon termination of this Agreement, any unused funds, unobligated funds, rebates, credits, or interest earned on funds received under this Agreement shall be returned to the City.

4.7.3 Grantee shall provide other reports required by the City to document the effective and appropriate delivery of services as outlined under this Agreement as required by the City.

#### 4.8 **Grantee Policies and Procedures.** Grantee shall maintain written policies and procedures approved by its governing body and shall make copies of all policies and procedures available to the City upon request. At a minimum, written policies shall exist in the following areas: Financial Management; Subcontracting and/or Procurement; Equal Employment Opportunity; Personnel and Personnel Grievance; Nepotism; Non-Discrimination of Clients; Client Grievance; Drug Free Workplace; the Americans With Disabilities Act; and Criminal Background Checks.

#### **4.9 Monitoring and Evaluation.**

4.9.1 Grantee agrees that the City or its designee may carry out monitoring and evaluation activities to ensure adherence by the Grantee and Subgrantees to the Program Work Statement, as well as other provisions of this Agreement. Grantee shall fully cooperate in any monitoring or review by the City and further agrees to designate a staff member to coordinate monitoring and evaluation activities.

4.9.2 Grantee shall provide City with copies of all evaluation or monitoring reports received from other funding sources during the Agreement Term within twenty (20) working days following the receipt of the final report.

4.9.3 Grantee shall keep on file copies of all notices of Board of Directors meetings, Subcommittee or Advisory Board meetings, and copies of minutes of those meetings.

#### **4.10 Financial Audit of Grantee.**

4.10.1 In the event Grantee expends \$750,000 or more in a year in federal awards, Grantee shall have a single or program specific audit conducted in accordance with Chapter 200, Subpart F, of Title 2 of the Code of Federal Regulations as required by the Single Audit Act of 1984, as amended (Single Audit Act), and shall submit to the City a complete set of audited financial statements and the auditor's opinion and management letters in accordance with Chapter 200, Subpart F, of Title 2 of the Code of Federal Regulations and any guidance issued by the federal Office of Management and Budget covering Grantee's fiscal year until the end of the term of this Agreement.

4.10.2 If Grantee is not subject to the Single Audit Act, and expends seven hundred fifty thousand dollars (\$750,000) or more during the Grantee's fiscal year, then Grantee shall have a full financial audit performed. If less than seven hundred fifty thousand dollars (\$750,000) is expended, then a financial review is acceptable, pursuant to the requirements of this Agreement.

4.10.3 Grantee shall agreement with an independent auditor utilizing a Letter of Engagement. The auditor must be a Certified Public Accountant recognized by the regulatory authority of the State of Texas.

4.10.4 Grantee must submit one (1) Board-approved, bound hard copy of a complete financial audit report or financial review, to include the original auditor opinion, within one hundred eighty (180) calendar days of the end of Grantee's fiscal year, unless alternative arrangements are approved in writing by the City. The financial audit report/financial review must include the Management Letter if one was issued by the auditor. Grantee may not submit electronic copies of financial audit reports/financial reviews to the City. Financial audit reports/financial reviews must be provided in hard copy, and either mailed or hand-delivered to the City.

4.10.5 City will contact the independent auditor to verify:

- i. That the auditor completed the financial audit report/financial review received from the Grantee;
- ii. That the auditor presented the financial audit report/financial review to the Grantee's Board of Directors or a committee of the Board, and;
- iii. The date the financial audit report/financial review was presented to the Grantee's Board of Directors or a committee of the Board.

4.10.6 City will contact the Board Chair to verify that the auditor presented the financial audit report/financial review to the Grantee's Board of Directors or a committee of the Board.

- i. Grantee's Board Chair must submit a signed and dated copy of the HHSD Board Certification form to the City as verification.
- ii. In lieu of the Board Certification form, Grantee must submit a signed and copy of the approved Board meeting minutes to the City, indicating the following:



- a) The Board of Directors, or a committee of the Board, has met with the independent auditor;
- b) The Board of Directors has authorized and accepted the financial audit report/financial review.

A signed and dated copy of the HHSD Board Certification form, or approved and signed Board minutes reflecting acceptance of the financial audit report/financial review will be due to the City within forty-five (45) days after the audit is due to the City. Board minutes regarding approval of the Grantee's financial audit report/financial review will be verified with the Grantee's Board Chair. The City will deem the financial audit report/financial review incomplete if Grantee fails to submit either the Board Certification form or the Board minutes as required by this section 4.12.6.

4.10.7 The inclusion of any Findings or a Going Concern Uncertainty, as defined by Chapter 200, Subpart F, of Title 2 of the Code of Federal Regulations and Generally Accepted Auditing Standards (GAAS), in a Grantee's audit requires the creation and submission to the City of a corrective action plan formally approved by the Grantee's governing board. The plan must be submitted to the City within 60 days after the audit is due to the City. Failure to submit an adequate plan to the City may result in the immediate suspension of funding. If adequate improvement related to the audit findings is not documented within a reasonable period of time, the City may provide additional technical assistance, refer the Agreement to the City Auditor for analysis, or move to terminate the Agreement as specified in Section 5 of the Agreement.

4.10.8 The expiration or termination of this Agreement shall in no way relieve the Grantee of the audit requirement set forth in this Section.

**4.10.9 Right To Audit By Office of City Auditor.**

4.10.9.1 Grantee agrees that the representatives of the Office of the City Auditor, or other authorized representatives of the City, shall have access to, and the right to audit, examine, and copy any and all records of the Grantee related to the performance under this Agreement during normal business hours (Monday – Friday, 8 am – 5 pm). In addition to any other rights of termination or suspension set forth herein, City shall have the right to immediately suspend the Agreement, upon written notice to Grantee, if Grantee fails to cooperate with this audit provision. The Grantee shall retain all such records for a period of five (5) years after the expiration or early termination of this Agreement or until all audit and litigation matters that the City has brought to the attention of the Grantee are resolved, whichever is longer. The Grantee agrees to refund to the City any overpayments disclosed by any such audit.

4.10.9.2 Grantee shall include this audit requirements in any subagreements entered into in connection with this Agreement.

**SECTION 5. TERMINATION**

- 5.1 **Right To Assurance.** Whenever one party to the Agreement in good faith has reason to question the other party's intent to perform, demand may be made to the other party for written assurance of the intent to perform. In the event that no assurance is given within the time specified after demand is made, the demanding party may treat this failure as an anticipatory repudiation of the Agreement.
- 5.2 **Default.** The Grantee shall be in default under the Agreement if the Grantee (a) fails to fully, timely and faithfully perform any of its material obligations under the Agreement, (b) fails to provide adequate assurance of performance under the "Right to Assurance paragraph herein, (c) becomes insolvent or seeks relief under the bankruptcy laws of the United States or (d) makes a material misrepresentation in Grantee's Offer, or in any report or deliverable required to be submitted by Grantee to the City.



Friday after Thanksgiving	Friday after Thanksgiving
Christmas Eve	December 24
Christmas Day	December 25

If a Legal Holiday falls on Saturday, it will be observed on the preceding Friday. If a Legal Holiday falls on Sunday, it will be observed on the following Monday.

**8.25 Survivability of Obligations.** All provisions of the Contract that impose continuing obligations on the parties, including but not limited to the warranty, indemnity, and confidentiality obligations of the parties, shall survive the expiration or termination of the Contract.

**8.26 Non-Suspension or Debarment Certification.** The City is prohibited from contracting with or making prime or sub-awards to parties that are suspended or debarred or whose principals are suspended or debarred from Federal, State, or City of Austin Contracts. By accepting a contract with the City, the Contractor certifies that its firm and its principals are not currently suspended or debarred from doing business with the Federal Government, as indicated by the Exclusions records at SAM.gov, the State of Texas, or the City of Austin.

In witness whereof, the parties have caused duly authorized representatives to execute this Contract on the dates set forth below.

**LATINO HEALTHCARE FORUM**

Signature: Jill Ramirez

Name: JILL RAMIREZ  
Printed Name

Title: CEO

Date: 2-2-16

**CITY OF AUSTIN**

Signature: Marty James

Name: MARTY JAMES  
PURCHASING OFFICE

Date: 02-25-16

## **EXHIBITS**

**Exhibit A.1 Program Work Statement (Deliverables)**

**Exhibit C – Equal Employment/Fair Housing Office/Non-Discrimination Certification**

## Program Work Statement

Contract Start Date 2/1/2016 Contract End Date 1/31/2017 Total Amount \$175,000.00

### Overview and Purpose

Where people work, eat, and sleep all play a large role in the determination of health outcomes. More than just an individual's action, where they can catch a bus, buy groceries, bring their children to run and play, and more, all can have an impact on the odds of chronic disease, longevity, and quality-of-life. For these reasons, we will take a broader view of data (social determinants of health and health disparities) to review and solutions to propose.

### Statement of Work

About the Rundberg Community Innovation Zone

The Rundberg Community Innovation Zone is a model that is based on concepts from the latest research coming from interdisciplinary concepts stemming from the fields of public health, neighborhood planning, and community engagement all working together to focus on one area, called place-based planning, many stakeholders concentrating efforts into one area of focus. The following 3 activities consist of the Community Innovation Zone's 3 core project components.

1) Use of Community Health Workers: A growing demand and evidence base exists in the public health and healthcare sectors to employ the use of Community Health Workers/Promotores to promote health literacy, helping consumers overcome cultural, linguistic, and educational barriers to learn healthy behaviors, how to access the healthcare system, and much more.

2) 2nd Phase CHA/CHIP: The CHIP (Community Health Improvement Plan) is the next phase of a CHA/CHIP process. The LHCF will continue to conduct planning research, and community engagement in the area to ensure that the Community Health Assessments' priority areas continue to be studied, engaged and acted upon.

3) Technology: We also see an opportunity for digital inclusion, providing an opportunity to leverage the efforts of Community Health Workers with our local technology partners to come together and help our community engage and interact, manage their own healthcare and health information, as well as developing skills for a labor market in the 21st century.

### Contract Deliverables

Deliverable Description	Due	Supporting Documentation Required	Payment Amount	Percent of Total Funding
Technology Engagement: Hackathon	2/1/2016	A list will be provided with: •No. of registrants •No. of volunteer judges •No. of teams Description of apps created by volunteer developers	\$10,000.00	5.71
Community Health Worker (CHW) Program: Curriculum Development	2/1/2016	Course syllabus outlining the curriculum to be provided..	\$12,000.00	6.86
Community Health Improvement Plan (CHIP): Engagement	2/1/2016	Activity report of the activities sustained since the release of the Rundberg CHA.	\$10,000.00	5.71
Social Media: Quarterly Report	2/1/2016	Quarterly summary of social media content.	\$2,400.00	1.37
CHIP Activities: Announcement	2/1/2016	At least one of the following items below will be provided: •Agenda or documentation of citizen's communication •Sign-in sheet •Copy of presentation	\$5,000.00	2.86
CHW Program: Begin Class	2/1/2016	Sign-in sheet will be provided with at	\$10,000.00	5.71

Created 2/1/2016 11:17:00 AM

Last Modified, If Applicable 2/17/2016 1:43:00 PM



## Program Work Statement

<i>Contract Start Date</i>	<i>2/1/2016</i>	<i>Contract End Date</i>	<i>1/31/2017</i>	<i>Total Amount</i>	<i>\$175,000.00</i>
		least 15 people in attendance.			
Social Media: Quarterly Report	3/31/2016	Quarterly summary of social media content.	\$2,400.00	1.37	
Technology Development and Engagement: Beta Version of Application	3/31/2016	A contract for the application development will be provided, which will include a report with a log of activities and meetings.	\$18,000.00	10.29	
1. CHW Program: Completion of CHW Training	5/31/2016	Completion of CHW training. Proof of completion will include the "student attendance record" (which comes in calendar format to track time, date, and who attended class) as well as each student's certificates of completion from PromoSalud.	\$53,400.00	30.51	
2. CHW Program: Hiring of CHWs		This deliverable relates to the activity of hiring the CHWs. CHWs will be selected giving preference to Rundberg residents and bilingual priority languages (in order: Spanish, Arabic, Burmese) to address those speaking no or limited English. CHWs will be responsible for working with residents on health navigation, advocacy, and chronic disease prevention (addressing social determinants of health).			
Technology Development and Engagement: Completion of Technology Application	6/30/2016	Application as per the contractual specifications and documentation of revisions from beta phase.	\$7,000.00	4.00	
Social Media: Quarterly Report	6/30/2016	Quarterly summary of social media content.	\$2,400.00	1.37	
CHIP: Initial Draft Report	7/31/2016	Draft CHIP. This report will be a draft CHIP, but will not be finalized as the final version will need to be vetted with workgroup participants. This deliverable reflects personnel time spent on CHIP activities, engagement, meetings and reporting.	\$15,000.00	8.57	
Technology Development and Engagement: Other Devices	8/31/2016	Photos of the kiosk, and the agreement with the kiosk host. One component of technology engagement is developing an application in a medium that will assist those who do not use a smartphone. Our goal is to develop the community-based application so that it can be accessed from other device types, in this case this would be in the form of a kiosk to be	\$5,000.00	2.86	

Created 2/1/2016 11:17:00 AM

Last Modified, If Applicable 2/17/2016 1:43:00 PM

## Program Work Statement

Contract Start Date 2/1/2016 Contract End Date 1/31/2017 Total Amount \$175,000.00

		located in an accessible area of the Rundberg Community Innovation Zone (RCIZ – located between North Austin YMCA and Gus Garcia Recreation Center).		
Social Media: Quarterly Report	9/30/2016	Quarterly summary of social media content. Continued engagement from social media communication about plans to improve the community's health. Social media content would reflect our activities and relevant resources, and postings could range from meeting notices to relevant news and ways to get involved or attend our workgroup meetings.	\$2,400.00	1.37
1.CHIP: Final Report CHIP Activities:	9/30/2016	The final version of the Community Health Improvement Plan. To avoid a duplication of efforts in the Rundberg area, LHCF agrees to a request to participate in quarterly meetings to share work plan progress and coordinate with other departments as seen relevant and within the work of scope of this project.	\$20,000.00	11.43
2. Coordinating with city staff (Quarterly) and other programs				



## **M E M O R A N D U M**

**City of Austin  
Financial Services Department  
Purchasing Office**

**DATE:** 04/17/2017  
**TO:** Memo to File  
**FROM:** Marty James, Procurement Specialist II  
**RE:** MA 9100 NG170000011 Latino Healthcare Forum

This contract was created and administered by Public Health. All original documents are located with the department. The Purchasing Office is not responsible for any procurement action for this contract other the creation of the payment mechanism for accounting purposes.





# Purchase Order - City Single

Print: 1 / 1

Reference Number	P.O. Date	Price Agreement #	Requestor	Buyer
DO 9100 17042410137 - 1	04/24/17	MA 9100 NG170000011	Leslie Boyd, 972-5036	See Solicitation, 512-974-2500

VENDOR	SHIP TO	BILL TO
Frank Marines Rodriguez V00000916205 Latino HealthCare Forum 6601 Felix Ave.  Austin TX 78741	HHSD Campus Bldg H  HHSD CAMPUS 7201 Levander Loop, Bldg H Austin TX 78702	Health & Human Services Dept  ACCOUNTING SERVICES PO BOX 1088 Austin TX 78767

The City's standard purchase terms and conditions are hereby incorporated into this order by reference, with the same force and effect as if they were incorporated in full text. The full versions are available at [https://www.austintexas.gov/financeonline/vendor\\_connection/index.cfm#STANDARDBIDDOCUMENTS](https://www.austintexas.gov/financeonline/vendor_connection/index.cfm#STANDARDBIDDOCUMENTS) or call the Purchasing Office at (512) 974-2500. Please include above reference number on all packages, deliveries, and invoices.

Line	Quantity	Unit	Comm Code	Commodity Line Description	Unit Price	Extended Amount
1	0.00		95243	Rundberg Community Health Initiative (RCHI)	\$0.00000	\$ 175,000.00

## Extended Description

Rundberg Community Health Initiative (RCHI)

## Accounting

Line	Fund	Dept	Unit	Objt	Actv	Func	Rept	Task Ord	Prog	Prog Period	Line Amount
1	1000	4700	6201	6825							\$ 175,000.00

Order Total: \$ 175,000.00

## VENDOR INSTRUCTIONS:

1. SEND ORIGINAL INVOICE WITH DUPLICATE COPY TO THE CITY DEPARTMENT TO WHICH THE GOOD(S) WERE DELIVERED
2. SHIPPING INSTRUCTIONS: F.O.B. DESTINATION UNLESS OTHERWISE SPECIFIED.
3. NO FEDERAL OR STATE SALES TAX SHALL BE INCLUDED IN PRICES BILLED. LIMITED SALES TAX #74-6000085.

Authorized Agent for City Manager

By acceptance of this purchase order, you agree to comply with the terms and conditions incorporated herein by reference and made a part of this order.

Date

04-24-17

# ROUTING-SLIP FOR City of Austin Purchasing

TO: Marty James, Buyer, Purchasing Dept. FROM: Leslie Boyd, Grants Program Manager, Austin Public Health Campus, Bldg. H LB

DOCUMENT: New Social Services Agreement with Latino Healthcare Forum for the Rundberg Community Health Initiative Program

Vendor Name: Latino Healthcare Forum Vendor Code: V00000916205

(For EXISTING Agreements Only)>> Agreement (Master Agreement) Number: NG170000011

Annual Agreement Term: 11/1/2016-9/30/2017 Total Agreement Term: 11/1/2016-9/30/2017

Agreement (Term/Amendment) Amount: \$175,000 Total Agreement Amount: \$175,000

(For NEW Agreements Only)>> Is Agreement Subject to HB1295? (Y/N) Yes

Competitive Award? (Y/N) No If Yes, Number of Bids Received? N/A

No. of vendors solicited? N/A Replaces another MA? (Y/N) No If Yes, MA Number: N/A

Commodity Code: 95243 CL Description/Program Name: Rundberg Community Health Initiative Program

**PROGRAM DESCRIPTION:** The goals of the Rundberg Community Health Initiative are: 1) to improve community access to health resources in the Rundberg area through culturally and linguistically appropriate communication, information, and referral, 2) to provide community access to health education, mental health support, and food access services, and 3) to build capacity to effectively serve residents of the Rundberg area through culturally and linguistically appropriate methods.

RQM Text: Request to execute a new Social Services Agreement with Latino Healthcare Forum for the period of 11/1/2016-9/30/2017. There are no authorized extension options.

RQS/RQM No. 16111500104

**DO Instructions:**

Request to encumber \$175,000 in 16-17 general funds for the period of 11/1/2016 through 9/30/2017.

CODE	Fund	Dept	Unit	Object	Grant Program	Program Period	Program Number	Amount
Commodity Line 01	1000	4700	6201	6825				\$175,000

Encumbrance Period: 11/1/2016-9/30/2017

Documents Attached: ☒ Agreement/Amendment ☒ Approved Insurance Certificates ☒ Debarment/Suspension Forms  
☒ RCA/Council Resolution ☒ Risk Manager approval ☒ Form 1295 Certificate

**APPROVALS**

SSP Program Coordinator: [Signature] DATE: 4/3/17

Contract Manager: [Signature] DATE: 4/3/17

\*(For Agreement Execution Only) I acknowledge that I have sent an electronic copy of the Purchasing Routing Slip for the attached Agreement to the Contract Compliance Unit at [HSDCCU@austintexas.gov](mailto:HSDCCU@austintexas.gov) and cc'd to to Glenn Selfe at [glenn.selfe@austintexas.gov](mailto:glenn.selfe@austintexas.gov)

SSP Research Analyst: [Signature] DATE: 3 APR 2017

ODD Financial Specialist: [Signature] DATE: 4/3/17

Acting SSP Manager: [Signature] DATE: 4/3/17

Deputy Director: [Signature] DATE: 04/04/17

Budget: [Signature] DATE: 4/5/17

Asst. Director, Admin. Svcs.: [Signature] DATE: 4/6/17

**ADDITIONAL INFORMATION:**

APH Director signature not required. Please return to Leslie Boyd, Austin Public Health Campus, Bldg. H (512-972-5036)

Approved 5/24/2012; Revised 1/23/2017



# AGENDA



## Recommendation for Council Action

Austin City Council	Item ID	64953	Agenda Number	4.
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Meeting Date:	11/10/2016	Department:	Health and Human Services
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### Subject

Approve the negotiation and execution of an agreement with Latino Healthcare Forum to implement community health improvement strategies for an 11-month term from November 1, 2016 through September 30, 2017, in an amount not to exceed \$175,000, for a total contract amount not to exceed \$175,000.

### Amount and Source of Funding

Funding in the amount of \$175,000 is included in the Fiscal Year 2016-2017 Operating Budget of the Health and Human Services Department.

### Fiscal Note

A fiscal note is not required.

Purchasing Language:	
Prior Council Action:	On September 14, 2016 Council approved Ordinance No. 20160914-001 adopting the Fiscal Year 2016-2017 Operating Budget.
For More Information:	Shannon Jones, Director, 512-972-5010; Stephanie Hayden, Deputy Director, 512-972-5017; Robert Kingham, Social Services Policy Manager, 512-972-5026; Elena Lloyd, Agenda Coordinator, 512-972-5033.
Council Committee, Boards and Commission Action:	
MBE / WBE:	
Related Items:	

### Additional Backup Information

In response to the Fiscal Year 2012 Byrne Criminal Justice Innovation solicitation, the City selected the Rundberg Corridor as the recipient of additional resources needed to address the significant incidents of crime in that area, which includes: Research Boulevard/Anderson Lane to the south; railroad tracks (just west of Metric) and Lamar to the west; Interstate 35 and Cameron Road to the east; and, Rutland Drive, Braker Lane, Floradale Drive, and Applegate Drive to the north.

Residents in the Rundberg Corridor are leading a revitalization effort termed Restore Rundberg, a partnership between neighborhoods, the community, government, higher education, public safety, researchers, and stakeholder groups with a mission of improving the quality of life, health, safety, education, and well-being of individuals living and working in the Rundberg neighborhood through innovative crime solutions and complementary social services.

In Fiscal Year 2015, the Latino Healthcare Forum (LHF) collected data and performed community health assessments

(CHA) in an effort to tailor outreach efforts and social services addressing determinants of health to residents of the Rundberg area. The CHA had five components: Quantitative & Demographic Analysis, Qualitative Research & Surveys, Community Outreach & Social Media, Community Asset Mapping & Stakeholder Analysis, and Recommendations for Future Planning & Prioritized Efforts.

During Fiscal Year 2016, the LHF implemented four activity areas identified in the CHA: Direct Service & Workforce Development, Planning Community Innovation Zone, Language & Resource Directory Mobile Application, and Planning for the Next Phase of Health Planning. Also, a Community Health Improvement Plan (CHIP) was developed with community stakeholders that focused on three strategic areas: Access to Resources, Language Access, and Access to Health Living.

LHF's continuation of this work will focus on four areas: Information Dissemination, Coordination with Provider Institutions, Addressing CHIP Key Recommendations, and Outreach/Engagement by Community Health Workers (CHW). The following are some key deliverables:

- 1) Community resource information dissemination through interactive kiosks, mobile application, and group training;
- 2) Outreach to clinical service providers and social service providers to integrate service delivery;
- 3) Implement recommendations from CHIP, including:
  - a. Coordinate, plan and implement a Health Literacy program;
  - b. Collaborate with the Asian American Resource Center to train CHW's;
  - c. Plan, coordinate and implement support project for parents with depression; and
- 4) Train CHW's assigned to the Rundberg area in the Pathway Model to address social determinants of health.

**Related Departmental Goal:**

Promote a healthy community by addressing the needs of vulnerable households.



**AGREEMENT BETWEEN  
THE CITY OF AUSTIN  
AND  
LATINO HEALTHCARE FORUM  
FOR  
SOCIAL SERVICES (DELIVERABLES AGREEMENT)  
(Rundberg Community Health Initiative)**

**AGREEMENT NO. NG170000011**

**AGREEMENT AMOUNT: \$175,000**

This Agreement is made by and between the City of Austin ("City") acting by and through its Austin Public Health ("APH"), a home-rule municipality incorporated by the State of Texas, and Latino HealthCare Forum (Grantee), a Texas non-profit corporation, having offices at 6601 Felix Ave., Austin, TX 78741.

**SECTION 1. GRANT OF AUTHORITY, SERVICES, AND DUTIES**

**1.1 Engagement of the Grantee.** Subject to the general supervision and control of the City and subject to the provisions of the Terms and Conditions contained herein, the Grantee is engaged to provide the services set forth in the Program Work Statement, attached hereto as Exhibit A.1.

**1.2 Responsibilities of the Grantee.** The Grantee shall provide all technical and professional expertise, knowledge, management, and other resources required for accomplishing all aspects of the tasks and associated activities identified in the Agreement Exhibits. The Grantee shall assure that all Agreement provisions are met by any Subgrantee performing services for the Grantee.

**1.3 Responsibilities of the City.** The City's Agreement Manager will be responsible for exercising general oversight of the Grantee's activities in completing the Program Work Statement. Specifically, the Agreement Manager will represent the City's interests in resolving day-to-day issues that may arise during the term of this Agreement, shall participate regularly in conference calls or meetings for status reporting, shall promptly review any written reports submitted by the Grantee, and shall approve all requests for payment, as appropriate. The City's Agreement Manager shall give the Grantee timely feedback on the acceptability of progress and task reports. The Agreement Manager's oversight of the Grantee's activities shall be for the City's benefit and shall not imply or create any partnership or joint venture as between the City and the Grantee.

**1.4 Designation of Key Personnel.** The City's Agreement Manager for this Agreement, to the extent stated in the preceding Section 1.3, shall be responsible for oversight and monitoring of Grantee's performance under this Agreement as needed to represent the City's interest in the Grantee's performance.

**1.4.1 The City's Agreement Manager or designee:**

- may meet with Grantee to discuss any operational issues or the status of the services or work to be performed; and

- shall promptly review all written reports submitted by Grantee, determine whether the reports comply with the terms of this Agreement, and give Grantee timely feedback on the adequacy of progress and task reports or necessary additional information.



1.4.2 Grantee's Agreement Manager, Jill Ramirez, Executive Director or designee, shall represent the Grantee with regard to performance of this Agreement and shall be the designated point of contact for the City's Agreement Manager.

1.4.3 If either party replaces its Agreement Manager, that party shall promptly send written notice of the change to the other party. The notice shall identify a qualified and competent replacement and provide contact information.

## **SECTION 2. TERM**

2.1 **Term of Agreement.** The Agreement shall be in effect for a term of 11 months beginning November 1, 2016 through September 30, 2017. There are no authorized extension options.

2.1.1 Upon expiration of the initial term or period of extension, the Grantee agrees to hold over under the terms and conditions of this Agreement for such a period of time as is reasonably necessary to re-solicit and/or complete the project (not to exceed 120 calendar days unless mutually agreed on in writing).

## **SECTION 3. PROGRAM WORK STATEMENT**

3.1 **Grantee's Obligations.** The Grantee shall fully and timely provide all services described in Exhibit A.1, Program Work Statement in strict accordance with the terms, covenants, and conditions of the Agreement and all applicable Federal, State, and local laws, rules, and regulations.

## **SECTION 4. COMPENSATION AND REPORTING**

4.1 **Agreement Amount.** The Grantee acknowledges and agrees that, notwithstanding any other provision of this Agreement, the maximum amount payable by the City under this Agreement for the initial 11 month term shall not exceed the amount approved by City Council, which is **\$175,000 (One Hundred Seventy Five Thousand dollars)**, for a total Agreement amount of \$175,000. Continuation of the Agreement beyond the initial 11 months is specifically contingent upon the availability and allocation of funding, and authorization by City Council.

### **4.2 Requests for Payment.**

Payment to the Grantee shall be due thirty (30) calendar days following receipt by City's Agreement Manager of Grantee's fully and accurately completed "Payment Request" and "Monthly Expenditure Report", using the forms shown at <http://www.ctkodm.com/austin/>. The payment request and expenditure report must be submitted to the City's Agreement Manager no later than fifteen (15) calendar days following the end of the month covered by the request and expenditure report. If the fifteenth (15<sup>th</sup>) calendar day falls on a weekend or holiday, as outlined in Section 8.24, the deadline to submit the payment request and expenditure report is extended to no later than 5:00 p.m. Central Time of the first (1<sup>st</sup>) weekday immediately following the weekend or holiday.

Grantee must provide the City with supporting documentation as described in Exhibit A.1, Program Work Statement for each monthly Payment Request where an agreement deliverable is being submitted.

The City retains right of final approval of any supporting documentation submitted before a Payment Request is approved for processing. Failure to provide supporting documentation acceptable to the City may result in delay or rejection of the Payment Request. The City reserves the right to modify the required supporting documentation from time to time, as needed.

### **4.3 Payment.**

4.3.1 All requests accepted and approved for payment by the City will be paid within 30 calendar days of the City's receipt of the deliverables or of the invoice, whichever is later. Requests for Payment received without all required information cannot be processed and will be returned to the Grantee, and City will make no payment in connection with such request.

4.3.2 If payment is not timely made, (per this paragraph), interest shall accrue on the unpaid balance at the lesser of the rate specified in Texas Government Code Section 2251.025 or the maximum lawful rate; except, if payment is not timely made for a reason for which the City may withhold payment hereunder, interest shall not accrue until ten (10) calendar days after the grounds for withholding payment have been resolved.

4.3.3 The City may withhold or set off the entire payment or part of any payment otherwise due the Grantee to such extent as may be necessary on account of;

4.3.3.1 delivery of unsatisfactory services by the Grantee;

4.3.3.2 third party claims, which are not covered by the insurance which the Grantee is required to provide, are filed or reasonable evidence indicating probable filing of such claims;

4.3.3.3 failure of the Grantee to pay Subgrantees, or for labor, materials or equipment,

4.3.3.4 damage to the property of the City or the City's agents, employees or Grantees, which is not covered by insurance required to be provided by the Grantee;

4.3.3.5 reasonable evidence that the Grantee's obligations will not be completed within the time specified in the Agreement, and that the unpaid balance would not be adequate to cover actual or liquidated damages for the anticipated delay;

4.3.3.6 failure of the Grantee to submit proper payment requests and expenditure reports with all required attachments and supporting documentation;

4.3.3.7 failure of the Grantee to comply with any material provision of the Agreement; or

4.3.4 Notice is hereby given of Article VIII, Section 1 of the Austin City Charter which prohibits the payment of any money to any person, firm or corporation who is in arrears to the City for taxes, and of §2-8-3 of the Austin City Code concerning the right of the City to offset indebtedness owed the City. Payment will be made by check unless the parties mutually agree to payment by electronic transfer of funds.

4.4 **Non-Appropriation.** The awarding or continuation of this Agreement is dependent upon the availability of funding and authorization by Council. The City's payment obligations are payable only and solely from funds appropriated and available for this Agreement. The absence of appropriated or other lawfully available funds shall render the Agreement null and void to the extent funds are not appropriated or available and any deliverables delivered but unpaid shall be returned to the Grantee. The City shall provide the Grantee written notice of the failure of the City to make an adequate appropriation for any fiscal year to pay the amounts due under the Agreement, or the reduction of any appropriation to an amount insufficient to permit the City to pay its obligations under the Agreement. In the event of non- or inadequate appropriation of funds, there will be no penalty or removal fees charged to the City.

4.5 **Final Payment and Close-Out.**

4.5.1 The making and acceptance of final payment will constitute:

4.5.1.1 a waiver of all claims by the City against the Grantee, except claims (1) which have been previously asserted in writing and not yet settled, (2) arising from defective work appearing after final inspection, (3) arising from failure of the Grantee to comply with the Agreement or the terms of any warranty specified herein, (4) arising from the Grantee's continuing obligations under the Agreement, including but not limited to indemnity and warranty obligations, or (5) arising under the City's right to audit; and

4.5.1.2 a waiver of all claims by the Grantee against the City other than those previously asserted in writing and not yet settled.

4.6 **Financial Terms.**

4.6.1 City agrees to pay Grantee for services rendered under this Agreement and to reimburse Grantee according to the payment schedule identified in Exhibit A.1, Program Work Statement.

4.6.2 City's obligation to pay is subject to the timely receipt of complete and accurate reports as set forth in Exhibit A.1, Program Work Statement, and any other deliverable required under this Agreement.



4.6.3 Payments to the Grantee will immediately be suspended upon the occasion of any late, incomplete, or inaccurate report, audit, or other required report or deliverable under this Agreement, and payments will not be resumed until the Grantee is in full compliance.

4.6.4 The City shall not be liable to Grantee for any costs which have been paid under other agreements or from other funds. In addition, the City shall not be liable for any costs incurred by Grantee which were: a) incurred prior to the effective date of this Agreement or outside the Agreement period as referenced in Section 2.1, or b) not billed to the City within 5 business days before the due date for the Grantee's annual Contract Progress Report or Contract Closeout Summary Report, whichever is applicable.

4.6.5 Grantee agrees to refund to City any funds paid under this Agreement which City determines have resulted in overpayment to Grantee or which City determines have not been spent by Grantee in accordance with the terms of this Agreement. Refunds shall be made by Grantee within thirty (30) calendar days after a written refund request is submitted by City. City may, at its discretion, offset refunds due from any payment due Grantee, and City may also deduct any loss, cost, or expense caused by Grantee from funds otherwise due.

4.6.6 Grantee shall deposit and maintain all funds received under this Agreement in either a separate numbered bank account or a general operating account, either of which shall be supported with the maintenance of a separate accounting with a specific chart which reflects specific revenues and expenditures for the monies received under this Agreement. The Grantee's accounting system must identify the specific expenditures, or portions of expenditures, against which funds under this Agreement are disbursed. Grantee must be able to produce an accounting system-generated report of exact expenses or portions of expenses charged to the City for any given time period.

4.6.7 Grantee is required to utilize an online agreement management system for billing and reporting in accordance with City guidelines, policies, and procedures. Grantee is responsible for all data entered/edited under its unique username, as well as all required but omitted data.

#### 4.7 **Reports.**

4.7.1 Grantee must submit a fully and accurately completed "Payment Request" and "Monthly Expenditure Report" to the City's Agreement Manager using the forms shown at <http://www.ckodm.com/austin/> by the deadline outlined in section 4.2. Grantee must provide complete and accurate supporting documentation. Upon receipt and approval by the City of each complete and accurate Payment Request and Monthly Expenditure Report, the City shall process payment to the Grantee of an amount equal to City's payment obligations, subject to deduction for any unallowable costs.

4.7.2 A Contract Closeout Summary report using the forms shown at <http://www.ckodm.com/austin/> shall be completed by the Grantee and submitted to the City within sixty (60) calendar days following the expiration or termination of this Agreement. Any encumbrances of funds incurred prior to the date of termination of this Agreement shall be subject to verification by City. Upon termination of this Agreement, any unused funds, unobligated funds, rebates, credits, or interest earned on funds received under this Agreement shall be returned to the City.

4.7.3 Grantee shall provide other reports required by the City to document the effective and appropriate delivery of services as outlined under this Agreement as required by the City.

#### 4.8 **Grantee Policies and Procedures.**

4.8.1 Grantee shall maintain written policies and procedures approved by its governing body and shall make copies of all policies and procedures available to the City upon request. At a minimum, written policies shall exist in the following areas: Financial Management; Subcontracting and/or Procurement; Equal Employment Opportunity; Personnel and Personnel Grievance; Nepotism; Non-Discrimination of Clients; Client Grievance; Drug Free Workplace; the Americans with Disabilities Act; Conflict of Interest; Whistleblower; and Criminal Background Checks.

4.8.2 Grantee shall provide the City with copies of revised Articles of Incorporation and Doing Business As (DBA) certificates (if applicable) within 14 calendar days of receipt of the notice of filing by the Secretary of State's office. Grantee shall provide the City with copies of revised By-Laws within 14 calendar days of their approval by the Grantee's governing body.

#### **4.9 Monitoring and Evaluation.**

4.9.1 Grantee agrees that the City or its designee may carry out monitoring and evaluation activities to ensure adherence by the Grantee and Subgrantees to the Program Work Statement, as well as other provisions of this Agreement. Grantee shall fully cooperate in any monitoring or review by the City and further agrees to designate a staff member to coordinate monitoring and evaluation activities.

4.9.2 Grantee shall provide the City with copies of all evaluation or monitoring reports received from other funding sources during the Agreement Term upon request following the receipt of the final report.

4.9.3 Grantee shall keep on file copies of all notices of Board of Directors meetings, Subcommittee or Advisory Board meetings, and copies of minutes of those meetings.

#### **4.10 Financial Audit of Grantee.**

4.10.1 In the event Grantee expends \$750,000 or more in a year in federal awards, Grantee shall have a single or program specific audit conducted in accordance with Chapter 200, Subpart F, of Title 2 of the Code of Federal Regulations as required by the Single Audit Act of 1984, as amended (Single Audit Act), and shall submit to the City a complete set of audited financial statements and the auditor's opinion and management letters in accordance with Chapter 200, Subpart F, of Title 2 of the Code of Federal Regulations and any guidance issued by the federal Office of Management and Budget covering Grantee's fiscal year until the end of the term of this Agreement.

4.10.2 If Grantee is not subject to the Single Audit Act, and expends \$750,000 or more during the Grantee's fiscal year, then Grantee shall have a full financial audit performed in accordance with Generally Accepted Auditing Standards (GAAS). If less than \$750,000 is expended, then a financial review is acceptable, pursuant to the requirements of this Agreement.

4.10.3 Grantee shall agree with an independent auditor utilizing a Letter of Engagement. The auditor must be a Certified Public Accountant recognized by the regulatory authority of the State of Texas.

4.10.4 Grantee must submit 1 Board-approved, bound hard copy of a complete financial audit report or financial review report, to include the original auditor Opinion Letter/Independent Auditor's Report within 270 calendar days of the end of Grantee's fiscal year, unless alternative arrangements are approved in writing by the City. The financial audit report or financial review report must include the Management Letter/Internal Controls Letter, if one was issued by the auditor. Grantee may not submit electronic copies of financial audit reports or financial review reports to the City. Financial audit reports or financial review reports must be provided in hard copy, and either mailed or hand-delivered to the City.

4.10.5 City will contact the independent auditor to verify:

- i. That the auditor completed the financial audit report/financial review received from the Grantee;
- ii. That the auditor presented the financial audit report/financial review to the Grantee's Board of Directors or a committee of the Board, and;
- iii. The date the financial audit report/financial review was presented to the Grantee's Board of Directors or a committee of the Board.

4.10.6 The City will contact the Board Chair to verify that the auditor presented the financial audit report/financial review report to the Grantee's Board of Directors or a committee of the Board.



- i. Grantee's Board Chair must submit a signed and dated copy of the APH Board Certification form to the City as verification.

A signed and dated copy of the APH Board Certification form will be due to the City with the financial audit report/financial review report. The City will deem the financial audit report/financial review report incomplete if the Grantee fails to submit the Board Certification form, as required by this Section.

4.10.7 The inclusion of any Findings or a Going Concern Uncertainty, as defined by Chapter 200, Subpart F, of Title 2 of the Code of Federal Regulations and Generally Accepted Auditing Standards (GAAS), in a Grantee's audit requires the creation and submission to the City of a corrective action plan formally approved by the Grantee's governing board. The plan must be submitted to the City within 60 days after the audit is due to the City. Failure to submit an adequate plan to the City may result in the immediate suspension of funding. If adequate improvement related to the audit findings is not documented within a reasonable period of time, the City may provide additional technical assistance, refer the Agreement to the City Auditor for analysis, or move to terminate the Agreement as specified in Section 5 of the Agreement.

4.10.8 The expiration or termination of this Agreement shall in no way relieve the Grantee of the audit requirement set forth in this Section.

**4.10.9 Right To Audit By Office of City Auditor.**

4.10.9.1 Grantee agrees that the representatives of the Office of the City Auditor, or other authorized representatives of the City, shall have access to, and the right to audit, examine, and copy any and all records of the Grantee related to the performance under this Agreement during normal business hours (Monday – Friday, 8 am – 5 pm). In addition to any other rights of termination or suspension set forth herein, City shall have the right to immediately suspend the Agreement, upon written notice to Grantee, if Grantee fails to cooperate with this audit provision. The Grantee shall retain all such records for a period of five (5) years after the expiration or early termination of this Agreement or until all audit and litigation matters that the City has brought to the attention of the Grantee are resolved, whichever is longer. The Grantee agrees to refund to the City any overpayments disclosed by any such audit.

4.10.9.2 Grantee shall include this audit requirement in any subagreement entered into in connection with this Agreement.

## **SECTION 5. TERMINATION**

- 5.1 **Right To Assurance.** Whenever one party to the Agreement in good faith has reason to question the other party's intent to perform, demand may be made to the other party for written assurance of the intent to perform. In the event that no assurance is given within the time specified after demand is made, the demanding party may treat this failure as an anticipatory repudiation of the Agreement.
- 5.2 **Default.** The Grantee shall be in default under the Agreement if the Grantee (a) fails to fully, timely and faithfully perform any of its material obligations under the Agreement, (b) fails to provide adequate assurance of performance under the "Right to Assurance paragraph herein, (c) becomes insolvent or seeks relief under the bankruptcy laws of the United States or (d) makes a material misrepresentation in Grantee's Offer, or in any report or deliverable required to be submitted by Grantee to the City.
- 5.3 **Termination For Cause.** In the event of a default by the Grantee, the City shall have the right to terminate the Agreement for cause, by written notice effective ten (10) calendar days, unless otherwise specified, after the date of such notice, unless the Grantee, within such ten (10) day period, cures such default, or provides evidence sufficient to prove to the City's reasonable satisfaction that such default does not, in fact, exist. The City may place Grantee on probation for a specified period of time within which the Grantee must correct any non-compliance issues. Probation shall not normally be for a period of more than nine (9) months, however, it may be for a longer period, not to exceed



business with the Federal Government, as indicated by the Exclusions records at SAM.gov, the State of Texas, or the City of Austin.

**8.27 Public Information Act.** Grantee acknowledges that the City is required to comply with Chapter 552 of the Texas Government Code (Public Information Act). Under the Public Information Act, this Agreement and all related information within the City's possession or to which the City has access are presumed to be public and will be released unless the information is subject to an exception described in the Public Information Act.

**8.28 HIPAA Standards.** As applicable, Grantee and Subgrantees are required to develop and maintain administrative safeguards to ensure the confidentiality of all protected client information, for both electronic and non-electronic records, as established in the Health Insurance Portability and Accountability Act (HIPAA) Standards CFR 160 and 164, and to comply with all other applicable federal, state, and local laws and policies applicable to the confidentiality of protected client information. Grantee must maintain HIPAA-compliant Business Associate agreements with each entity with which it may share any protected client information.

**8.28.1 Business Associate Agreement.** If performance of this Agreement involves the use or disclosure of Protected Health Information (PHI), as that term is defined in 45 C.F.R. § 160.103, then Grantee acknowledges and agrees to comply with the terms and conditions contained in the Business Associate Agreement, attached as Exhibit E.

**8.29 Political and Sectarian Activity.** No portion of the funds received by the Grantee under this Agreement shall be used for any political activity (including, but not limited to, any activity to further the election or defeat of any candidate for public office) or any activity undertaken to influence the passage, defeat, or final content of legislation; or for any sectarian or religious purposes.

**8.30 Culturally and Linguistically Appropriate Standards (CLAS).** The City is committed to providing effective, equitable, understandable and respectful quality care and services that are responsive to diverse cultural beliefs and practices, preferred languages, health literacy, and other communication needs. This commitment applies to services provided directly by the City as well as services provided through its Grantees. Grantee and its Subgrantees agree to implement processes and services in a manner that is culturally and linguistically appropriate and competent. Guidance on adopting such standards and practices are available at the U.S. Department of Health and Human Services Office of Minority Health's website at: <https://minorityhealth.hhs.gov/omh/browse.aspx?lvl=1&lvlid=8>.

In some instances, failure to provide language assistance services may have the effect of discriminating against persons on the basis of their natural origin. Guidelines for serving individuals with Limited English Proficiency (LEP) are available at <https://www.lep.gov/fags/fags.html>.

In witness whereof, the parties have caused duly authorized representatives to execute this Agreement on the dates set forth below.

**LATINO HEALTHCARE FORUM**

X Signature: Jill Ramirez  
Name: JILL RAMIREZ  
Printed Name  
Title: C.E.O.  
Date: 4-3-17

**CITY OF AUSTIN**

Signature: Shawn Willett  
Name: Shawn Willett  
PURCHASING OFFICE  
Date: 4-20-17

## **EXHIBITS**

**Exhibit A.1    Program Work Statement (Deliverables)**

**Exhibit C – Equal Employment/Fair Housing Office/Non-Discrimination Certification**

**Exhibit E – Business Associate Agreement**

## Program Work Statement

### Contract Term

Contract Start Date 11/1/2016 Contract End Date 9/30/2017

### Program Period Term

### Total Program Period Amount

Program Start Date 11/1/2016 Program End Date 9/30/2017 \$55,000.00

### Overview and Purpose

Goal: LHCF will improve community access to health resources in the Rundberg area through culturally and linguistically appropriate communication, information and referral. LHCF will use technology to provide "anytime access" to community resources.

Implement following CHIP recommendations:

1. Make resources available, accessible and affordable to the Rundberg community. These include: mental health resources, healthcare, livable housing, transportation and food access.
2. Resources are available in their language and are in plain language with cultural relevance taken into account.
3. Resources are made culturally relevant. Programs, services, health navigation, food access and physical activities are culturally relevant to the community.
4. Resources can be located. Information is managed such that an increase in awareness, coordination, navigation and communication is reached by the community. This is achieved by connecting Community Healthcare Workers (CHWs), navigators, social workers, parent support specialists and Family Resource Centers in collaborative effective working relationships.

### Statement of Work

Specifically, the following activities will be carried out: LHCF will utilize information technology and social media strategies to continuously engage the Rundberg community in local area meetings, classes and projects. This engagement effort will be complemented by the development and implementation of technology-based strategies for community resources access through the use of a refined mobile phone application (app) and kiosks to be used by the community. The technology component will also provide enhanced access to healthcare and mental health resources.

Extensions to the Deliverable Due Date may be requested by Latino Healthcare Forum in writing (email) and may be approved in writing (email) by the Austin Public Health contract manager. Extensions must be requested at least 15 calendars days from the day reporting is due. The Contract Manager has three (3) business days to respond to the request.

### Contract Deliverables

<i>Deliverable Description</i>	<i>Due</i>	<i>Supporting Documentation Required</i>	<i>Payment Amount</i>	<i>Percent of Total Funding</i>
Quarter 1 (November - December) report of social media strategies using Facebook, Constant Contact, and LHCF website to inform and engage the Rundberg community in local area meetings, classes, projects and community resources	12/31/2016	Quarter 1 Social Media Report	\$2,500.00	4.55
Enhancements to Kiosk and mobile Community Resources App to capture usage data	1/31/2017	Copy of executed contract between LHCF and software developer for further enhancements to the Community Resources App to track and report App usage	\$3,000.00	5.46
Placement of Kiosk #2, providing public access to Community Resources App	2/28/2017	1) Report on the specifications and functionality of the kiosk, 2) Copy of written terms between LHCF and	\$5,000.00	9.09

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## Program Work Statement

### Contract Term

Contract Start Date 11/1/2016 Contract End Date 9/30/2017

### Program Period Term

### Total Program Period Amount

Program Start Date 11/1/2016 Program End Date 9/30/2017 \$55,000.00

owner of placement site				
Work with mental health professionals at Samaritan Center to select a mental health educational tool appropriate for community members to use through the Community Resources App	3/31/2017	1) Report containing a) List of screening tools reviewed, b) Evaluation process, and c) Methodology for selecting the most appropriate mental health educational tool. 2) Sign-in sheet of professionals who attended selection and evaluation meetings	\$5,000.00	9.09
Quarter 2 (January - March) report of social media strategies using Facebook, Constant Contact, and LHCF website to inform and engage the Rundberg community in local area meetings, classes, projects and community resources	3/31/2017	Quarter 2 Social Media Report	\$2,500.00	4.55
Mental health educational tool focus group in the community, led by Samaritan Center professionals	4/30/2017	Report on the number of participants in the focus group, their findings, and provide description of tool trial outcome pilot (outline document).	\$3,000.00	5.46
Selected mental health education tool installed on mobile Community Resources App for pilot testing	5/31/2017	Provide written description and directions of use.	\$2,000.00	3.64
CHWs providing assistance/training for Rundberg residents on downloading, installing, and using the Community Resources App	5/31/2017	1) List of de-identified individuals (age, gender and zip code) who were provided in-person assistance. Goal: Approximately 120 individuals. 2) Summary report on the number of instructional materials developed and distributed, including copy of any written instructional materials	\$8,000.00	14.55
Focus group(s) of parents and other community members to test mental health education tool on Community Resources App and provide feedback	5/31/2017	Sign-in sheet and meeting minutes of focus group(s). Goal of at least 20 total participants	\$3,000.00	5.46
Enhancements to Kiosk and mobile Community Resources App to include 4 health educational videos addressing diabetes, obesity, hypertension, and mental health	6/30/2017	Report on Community App enhancements, including links to the 4 health educational videos	\$5,000.00	9.09
Selected mental health self-assessment tool added to Community Resources App, with capability to track usage	6/30/2017	Report on Community Resources App addition, including link to new mental health educational tool	\$3,000.00	5.46
Quarter 3 (April - June) report of social media strategies using	6/30/2017	Quarter 3 Social Media Report	\$2,500.00	4.55

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## Program Work Statement

<i>Contract Term</i>				
<i>Contract Start Date</i>	11/1/2016	<i>Contract End Date</i>	9/30/2017	
<i>Program Period Term</i>			<i>Total Program Period Amount</i>	
<i>Program Start Date</i>	11/1/2016	<i>Program End Date</i>	9/30/2017	\$55,000.00

Facebook, Constant Contact, and LHCF website to inform and engage the Rundberg community in local area meetings, classes, projects and community resources

Quarter 4 (July - September) report of social media strategies using Facebook, Constant Contact, and LHCF website to inform and engage the Rundberg community in local area meetings, classes, projects and community resources	9/30/2017	Quarter 4 Social Media Report	\$2,500.00	4.55
Community Resources App use report	9/30/2017	Community Resources App utilization report for Kiosks #1 and #2 and personal mobile device use. Report will include use-to-date data on viewing of educational videos, use of language translation capabilities and mental health educational tool	\$8,000.00	14.55

## Program Work Statement

### Contract Term

Contract Start Date 11/1/2016 Contract End Date 9/30/2017

### Program Period Term

### Total Program Period Amount

Program Start Date 11/1/2016 Program End Date 9/30/2017 \$50,000.00

### Overview and Purpose

Goal: LHCF will build capacity to effectively serve residents of the Rundberg area through culturally and linguistically appropriate methods.

Implement following CHIP recommendations:

1. Make resources available, accessible and affordable to the Rundberg community. These include: mental health resources, healthcare, livable housing, transportation and food access.
2. Resources are available in their language and are in plain language with cultural relevance taken into account.
3. Resources are made culturally relevant. Programs, services, health navigation, food access and physical activities are culturally relevant to the community.
4. Resources can be located. Information is managed such that an increase in awareness, coordination, navigation and communication is reached by the community. This is achieved by connecting Community Healthcare Workers (CHWs), navigators, social workers, parent support specialists and Family Resource Centers in collaborative effective working relationships.

### Statement of Work

Specifically, the following activities will be carried out: LHCF will focus on engaging in cooperative efforts with local area organizations willing and able to support outreach, recruitment, and training of community health workers that reflect the communities' cultural and linguistic diversity. This activity will include coordination and cooperation with organizations reflected in the CHIP Stakeholder Focus Areas for Prioritizing CHIP Recommendations in Rundberg, and as recommended by the City of Austin. LHCF collaborates with Refugee Services of Texas, Caritas, COA Office of Sustainability, AISD Family Resource Center, Eagle Talk Show, Burnet Middle School, Asian American Resource Center, Asian American Non-Profit, Inc., Samaritan Center and other local leaders and organizations.

Extensions to the Deliverable Due Date may be requested by Latino Healthcare Forum in writing (email) and may be approved in writing (email) by the Austin Public Health contract manager. Extensions must be requested at least 15 calendar days from the day reporting is due. The Contract Manager has three (3) business days to respond to the request.

### Contract Deliverables

Deliverable Description	Due	Supporting Documentation Required	Payment Amount	Percent of Total Funding
			\$0.00	0.00
Outreach and recruitment of CHW students through AARC Center	1/31/2017	Report on outreach conducted by LHCF to recruit CHWs which includes flyers and other media for recruitment. The report will also include results of number of CHWs recruited and enrolled in the program.	\$5,000.00	10.00
CHW PromoSalud Training for community members (Part 1)	2/28/2017	Sign-in Sheets for February CHW certification classes (with goal of certifying 10 CHWs, reflecting a total of 251 hours required for certification)	\$5,000.00	10.00
CHW PromoSalud Training for community members (Part 2)	3/31/2017	1) Sign-In Sheets for March CHW certification classes, 2) Brief description of curriculum for each	\$5,000.00	10.00

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## Program Work Statement

### Contract Term

Contract Start Date 11/1/2016 Contract End Date 9/30/2017

### Program Period Term

### Total Program Period Amount

Program Start Date 11/1/2016 Program End Date 9/30/2017 \$50,000.00

Lead collaboration with the Health Equity unit of Austin Public Health to develop and carry out support groups for community health workers in the City of Austin (Part 1)	3/31/2017	class in March Report on the number of meetings, frequency and lessons learned from meeting with APH community health workers	\$5,000.00	10.00
CHW PromoSalud Training for community members (Part 3)	4/30/2017	1) Sign-in Sheets for March CHW certification classes, 2) Brief description of curriculum for each class in April	\$5,000.00	10.00
CHW PromoSalud Training for community members (Part 4)	5/31/2017	1) Sign-in Sheets for May CHW certification classes, and 2) Brief description of curriculum for each class in May	\$5,000.00	10.00
At least 7/10 of CHWs enrolled in the PromoSalud Training receive completion certificates	6/30/2017	Copies of completion certificates for at least 7/10 of enrolled CHWs	\$10,000.00	20.00
Lead collaboration with the Health Equity unit of Austin Public Health to develop and carry out support groups for community health workers in the City of Austin (Part 2)	6/30/2017	Report on the number of meetings, frequency and lessons learned from meeting with APH community health workers	\$5,000.00	10.00
Lead collaboration with the Health Equity unit of Austin Public Health to develop and carry out support groups for community health workers in the City of Austin (part 3)	9/30/2017	Report on the number of meetings, frequency and lessons learned from meeting with APH community health workers (July - September)	\$5,000.00	10.00



## Program Work Statement

### Contract Term

Contract Start Date 11/1/2016 Contract End Date 9/30/2017

### Program Period Term

### Total Program Period Amount

Program Start Date 11/1/2016 Program End Date 9/30/2017 \$70,000.00

### Overview and Purpose

Goal: LHCF will provide community access to health education, mental health support and food access services.

Implement following CHIP recommendations:

1. Make resources available, accessible and affordable to the Rundberg community. These include: mental health resources, healthcare, livable housing, transportation and food access.
2. Resources are available in their language and are in plain language with cultural relevance taken into account.
3. Resources are made culturally relevant. Programs, services, health navigation, food access and physical activities are culturally relevant to the community.
4. Resources can be located. Information is managed such that an increase in awareness, coordination, navigation and communication is reached by the community. This is achieved by connecting Community Healthcare Workers (CHWs), navigators, social workers, parent support specialists and Family Resource Centers in collaborative effective working relationships.

### Statement of Work

Specifically, the following activities will be carried out: CHWs will utilize strategies from the Pathways model of client support and targeting determinants of health. LHCF CHWs will coordinate with various community organizations as well as the City of Austin Office of Sustainability by convening meetings and trainings for clients regarding health literacy and mental health issues identified in the community's CHIP recommendations. Key areas include physical fitness, health literacy and food access.

Extensions to the Deliverable Due Date may be requested by Latino Healthcare Forum in writing (email) and may be approved in writing (email) by the Austin Public Health contract manager. Extensions must be requested at least 15 calendars days from the day reporting is due. The Contract Manager has three (3) business days to respond to the request.

### Contract Deliverables

<i>Deliverable Description</i>	<i>Due</i>	<i>Supporting Documentation Required</i>	<i>Payment Amount</i>	<i>Percent of Total Funding</i>
LHCF Community Health Workers (CHWs) co-located at providers such as: Caritas Refugee Center, Office of Sustainability, Austin Voices, AISD, Refugee Services of Texas, Seton Topfer Community Health Center and YMCA.	11/30/2016	Report of services provided by LHCF staff (CHWs) at select organizations in the Rundberg area, providing confirmation of CHWs' work with community at those partner sites and coordination efforts.	\$5,000.00	7.14
Pathways model training for CHWs assigned to the Rundberg area	11/30/2016	1) Pathways and program training curriculum, and 2) Training session sign-in sheets, and 3) Copies of Completion Certificates for the participating students, and 4) Copy of the Pathways tool developed by the CHWs during training to be used in their work.	\$5,000.00	7.14
Food access issues addressed by CHWs assigned to the Rundberg area (using training from City Office of	11/30/2016	1) Report of CHW work involving food access issues 2) Evidence of using strategies taught by the Office	\$5,000.00	7.14

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# **Program Work Statement**

## **Contract Term**

**Contract Start Date** 11/1/2016 **Contract End Date** 9/30/2017

## **Program Period Term**

## **Total Program Period Amount**

**Program Start Date** 11/1/2016 **Program End Date** 9/30/2017 **\$70,000.00**

Sustainability)		of Sustainability including a copy of the survey instrument used at Burnet Family Resource Center.		
Monthly Health Literacy Training for Rundberg area residents (Part 1)	3/31/2017	Summary description of the training held including course content, roster of the class participants, Sign-In Sheets and a copy of the class announcement flyers. Goal: 25 participants. Summary of challenges faced and lessons learned	\$5,000.00	7.14
Monthly Health Literacy class for Rundberg area residents (Part 2)	4/30/2017	Summary description of the training held including course content, roster of the class participants, Sign-In Sheets and a copy of the class announcement flyers. Goal: 25 participants. Summary of challenges faced and lessons learned	\$5,000.00	7.14
Food access issues addressed by CHWs assigned to Rundberg area, follow up	5/31/2017	Report describing the activities taking place at which locations, and summary of challenges faced and lessons learned	\$5,000.00	7.14
Monthly Health Literacy class for Rundberg area residents (Part 3)	5/31/2017	Summary description of the training held including course content, roster of the class participants, Sign-In Sheets and a copy of the class announcement flyers. Goal: 25 participants. Summary of challenges faced and lessons learned	\$5,000.00	7.14
Monthly Wellness and Mental Health Support meeting led by Samaritan Center (Part 1)	5/31/2017	Summary of meeting goals, meeting agenda, roster of attendees, Sign-In Sheets and meeting announcement flyers. Goal: 25 participants Summary of challenges faced and lessons learned	\$5,000.00	7.14
Monthly Health Literacy Class for Rundberg area residents (Part 4)	6/30/2017	Summary description of the training held including course content, roster of the class participants, Sign-In Sheets and a copy of the class announcement flyers. Goal: 25 participants	\$5,000.00	7.14
Monthly Wellness and Mental Health Support meeting led by Samaritan Center (Part 2)	6/30/2017	Summary of meeting goals, meeting agenda, roster of attendees, Sign-In Sheets and meeting announcement flyers. Goal: 25 participants Summary of challenges faced and lessons learned	\$5,000.00	7.14

Created 1/6/2017 11:44:00 AM

Last Modified, If Applicable 3/31/2017 1:38:00 PM

## Program Work Statement

<i>Contract Term</i>				
<i>Contract Start Date</i>	11/1/2016	<i>Contract End Date</i>	9/30/2017	
<i>Program Period Term</i>			<i>Total Program Period Amount</i>	
<i>Program Start Date</i>	11/1/2016	<i>Program End Date</i>	9/30/2017	\$70,000.00
Monthly Wellness and Mental Health Support meeting (Part 3)	7/31/2017	Summary of meeting goals, meeting agenda, roster of attendees, Sign-In Sheets and meeting announcement flyers. Goal: 25 participants Summary of challenges faced and lessons learned	\$5,000.00	7.14
Monthly Wellness and Mental Health Support meeting led by Samaritan Center (Part 4)	8/31/2017	Summary of meeting goals, meeting agenda, roster of attendees, Sign-In Sheets and meeting announcement flyers. Goal: 25 participants Summary of challenges faced and lessons learned	\$5,000.00	7.14
Monthly Wellness and Mental Health Support meeting led by Samaritan Center (Part 5)	9/30/2017	Summary of meeting goals, meeting agenda, roster of attendees, Sign-In Sheets and meeting announcement flyers. Goal: 25 participants Summary of challenges faced and lessons learned	\$5,000.00	7.14
Health and wellness: Community Health Worker led fitness classes at 3 sites for 28 weeks at YMCA, Burnet Middle School and third location TBD	9/30/2017	1) Roster of participants for each class at each site, and 2) Participation surveys Goal: 45 participants per week across all sites. Summary of challenges faced and lessons learned	\$5,000.00	7.14

Created 1/6/2017 11:44:00 AM

Last Modified, If Applicable 3/31/2017 1:38:00 PM

## **Board and Commission Applicant Information**

**Rodriguez, Frank**

Date of Application Received December 10, 2013

**Applicant Name:** Rodriguez, Frank

**Mail Address:** 6601 Felix Ave., Austin, TX, 78741

**Email Address:** [REDACTED]

**Phone Number:** • [REDACTED] (Preferred)

**Ethnicity:** Hispanic

**Gender:** Male

**District:**

**City of Austin Resident:** Yes

**Employer:** Latino HealthCare Forum

**Occupation:** Healthcare policy advocate

**Disability:**

### **Resume:**

Frank Rodriguez is the Executive Director of the Latino HealthCare Forum (LHCF), a Central Texas nonprofit. The LHCF promotes the health and well being of ethnically diverse communities by focusing on health promotion services through approaches in clinical care, behavioral changes, and social determinants of health. The LHCF provides outreach to the most vulnerable, underserved populations in the Central Texas region. The LHCF raises awareness, conducts research and assists those communities whose needs need to be addressed by the health care system. Currently the LHCF provides Affordable Care Act Insurance Marketplace outreach and education to the vulnerable and hard to reach population. Mr. Rodriguez served eight years as a founding Board member from 2004 until 2012 on the Board of Managers of Central Health and served as Treasurer and Vice-Chair for his last two years. Central Health is a taxing public agency that serves the health care needs of Travis County. Central Health maintains a network of health care services and owns Brackenridge Hospital and contracts with health care providers to meet the health care needs of Central Texas. Mr. Rodriguez is a former business owner for a firm specializing in financial and business planning for both the private and public sector. Mr. Rodriguez has over 20 years of experience in business and project management, finance, economic analysis, business and market planning, and policy and operational analysis. He started his public service career in San Antonio, working for the City of San Antonio in the City Manager's office after completing the Urban Studies Program at Trinity University. He was a former Budget Director for the City of Austin and Assistant City Manager overseeing the City of Austin's operating budget of over \$700 million and capital improvement program of over \$900 million. Mr. Rodriguez has served as Board Member of the Sendero Medicaid HMO, Vice-Chair of the City of Austin's Economic Development Commission, Chair of the Travis County Appraisal Review Board, Board Member of the Greater Austin Hispanic Chamber of Commerce,

Board President for the Mexic-Arte Museum, and President of the Johnson City I.S.D., as well as being involved in other civic and professional organizations.

**Board or Commission Name and Specific Qualificaitons:**

- **Hispanic/Latino Quality of Life Resource Advisory Commission**

Qualifications: Former founding Board Of Managers for Central Health, Travis County Healthcare District. Served 8 years as Treasurer and Vice-Chair. Currently, Executive Director of the Latino HealthCare Forum (LHCF), a nonprofit focused on eliminating health disparities for the Latino and other vulnerable underserved populations. The LHCF specializes in community engagement and outreach in the areas of ACA Insurance Marketplace, Health promotion, Training of Community Health Workers, and Policy and Program Advocacy. Also have served as a former School Board member, former Vice-Chair for the City of Austin's Economic Development Commission, former Board of Directors for the Hispanic Chamber of Commerce, Former Chair of the Mexic-Arte Museum, and Former Chair of the Travis County Appraisal Review Board.



**AUSTIN CITY COUNCIL  
MINUTES****REGULAR MEETING  
THURSDAY, DECEMBER 12, 2013**

**Invocation:** Elder Jack D. Gause, St. Peter's United Methodist Church

The following represents the actions taken by the Austin City Council in the order they occurred during the meeting. While the minutes are not in sequential order, all agenda items were discussed. The City Council of Austin, Texas, convened in a regular meeting on Thursday, December 12, 2013 in the Council Chambers of City Hall, 301 West Second Street, Austin, Texas.

Mayor Leffingwell called the Council Meeting to order at 10:07 a.m.

**CONSENT AGENDA**

The following items were acted on by one motion.

1. Approve the amended minutes of the Austin City Council regular meeting of September 26, 2013 and minutes of the Austin City Council work session of November 19, 2013 and regular meeting of November 21, 2013.  
**The amended minutes for the City Council regular meeting of September 26, 2013 and minutes of the Austin City Council work session of November 19, 2013 and regular meeting of November 21, 2013 were approved on consent on Council Member Spelman's motion, Mayor Pro Tem Cole's second on a 7-0 vote.**
2. Authorize negotiation and execution of an agreement with 9900 Spectrum LLC, to provide a performance-based incentive for the generation of solar energy at its facility located at 9900 Spectrum Dr., Austin, Texas 78717, for an estimated \$41,564 per year, for a total amount not to exceed \$415,640 over a 10-year period.  
**The motion authorizing the negotiation and execution of an agreement with 9900 Spectrum LLC was approved on consent on Council Member Spelman's motion, Mayor Pro Tem Cole's second on a 7-0 vote.**
3. Authorize negotiation and execution of an agreement with Austin Central/Texas Realty Information Service, to provide a performance-based incentive for the generation of solar energy at its facility located at 4800 Spicewood Springs Road, Austin, Texas 78759, for an estimated \$16,590 per year, for a total amount not to exceed \$165,900 over a 10-year period.  
**The motion authorizing the negotiation and execution of an agreement with Austin Central Texas Realty Information Service was approved on consent on Council Member Spelman's motion, Mayor Pro Tem Cole's second on a 7-0 vote.**
4. Authorize negotiation and execution of an agreement with Expo 2 Partners, Ltd., to provide a performance-based incentive for the generation of solar energy at its facility located at 6411 Burleson Road, Austin, Texas 78744, for an estimated \$41,599 per year, for a total amount not to exceed \$415,990 over a 10-year period.  
**The motion authorizing the negotiation and execution of an agreement with Expo 2 Partners, Ltd. was approved on consent on Council Member Spelman's motion, Mayor Pro Tem Cole's second on a 7-0 vote.**

65. Authorize award and execution of a 12-month requirement service agreement with the CENTER FOR CHILD PROTECTION for program expenses related to the protection of abused children in an amount not to exceed \$369,396, with five 12-month extension options in an amount not to exceed \$369,396 per extension option, for a total contract amount not to exceed \$2,216,376. (Notes: This contract will be awarded in compliance with City Code Chapter 2-9C (Minority-Owned and Women-Owned Business Enterprise Procurement Program). No subcontracting opportunities were identified; therefore, no goals were established for this contract.)  
**The motion authorizing the award and execution of a requirement service agreement with the Center for Child Protection was approved on consent on Council Member Spelman's motion, Mayor Pro Tem Cole's second on a 7-0 vote.**
66. Approve an ordinance amending the City Code relating to utility infrastructure joint-use agreements and management of utility infrastructure in City rights-of-way.  
**This item was postponed to January 23, 2014 on consent on Council Member Spelman's motion, Mayor Pro Tem Cole's second on a 7-0 vote.**

**Item 67 was set for a time certain of 4:00 p.m.**

68. Approve a resolution approving the form of the Paying Agent/Registrar Agreement relating to the issuance of City of Austin, Texas, 4.5% Hotel Occupancy Tax Revenue Refunding Bonds, Series 2013.  
**Resolution No. 20131212-068 was approved on consent on Council Member Spelman's motion, Mayor Pro Tem Cole's second on a 7-0 vote.**
69. Approve appointments and certain related waivers to citizen boards and commissions, to Council subcommittees and other intergovernmental bodies and removal and replacement of members.  
**The following appointments were approved on consent on Council Member Spelman's motion, Mayor Pro Tem Cole's second on a 7-0 vote.**

#### Nominations

##### Board/Nominee

##### Nominated by

Asian American Resource Advisory Commission  
 Vincent Cobalis

Council Member Morrison

Austin Airport Advisory Commission  
 Teddy McDaniel

Mayor Pro Tem Cole

Austin Music Commission  
 Marc Fort

Mayor Pro Tem Cole

Austin Community Technology and Telecommunications Commission  
 Chelsea McCullough

Mayor Leffingwell

Building and Fire Code Board of Appeals  
 Herman Lamme

Council Member Tovo

Construction Advisory Committee  
 Thomas Dodd

Mayor Leffingwell

Hispanic/Latino Quality of Life Resource Advisory Commission  
Frank Rodriguez

Council Member Morrison

Human Rights Commission  
Will Krueger

Council Member Riley

Sustainable Food Policy Board  
Martha Kooock Ward

Council Member Morrison

Urban Forestry Board  
Keith Brown

Council Member Riley

Water and Wastewater Commission  
Colin Clark

Council Member Morrison

#### **Intergovernmental Bodies**

Central Health Board of Managers  
Lynne Hudson

Council

#### **Waivers**

There are no waivers scheduled for today.

**Item 70 was pulled for discussion.**

**Action was taken on item 71 but was reconsidered later in the meeting. See below.**

72. Approve a resolution directing the City Manager and City Clerk to work together to create a team of stakeholders from relevant City departments that will develop recommendations for implementing compliance and monitoring to ensure that personally identifiable information that is collected or stored by the City is effectively protected in a way that is consistent with the Public Information Act and other applicable law. (Notes: SPONSOR: Mayor Pro Tem Sheryl Cole CO 1: Council Member Laura Morrison CO 2: Council Member William Spelman)  
**Resolution No. 20131212-072 was approved on consent on Council Member Spelman's motion, Mayor Pro Tem Cole's second on a 7-0 vote.**
73. Approve a resolution directing the City Manager to negotiate and execute amendments to the agreements between the City of Austin, the Circuit of the Americas, and the Circuit Events Local Organizing Committee to (1) provide for submission of a sustainable site operations and maintenance plan by the end of the year in lieu of achieving 2 Stars in the Sustainable Sites Initiative and (2) clarify that the Circuit of the Americas and/or the Circuit Events Local Organizing Committee will submit a plan to reduce emissions of particulate matter NOx (nitrogen oxides) and CO2 (carbon dioxide) before any F1 U.S. Grand Prix Event being held between April 1 and October 31 of any year. (Notes: SPONSOR: Council Member Chris Riley CO 1: Council Member William Spelman CO 2: Council Member Mike Martinez)  
**Resolution No. 20131212-073 was approved on consent on Council Member Spelman's motion, Mayor Pro Tem Cole's second on a 7-0 vote.**



## Personnel Action

Received  
Human Resources Dept  
Records Division

Prepared:

Effective:

Entered:

Printed: July 21, 2014 10:06:28

04	20	15
4/23/15		


<b>Employee Identification</b>	<b>Social Security Number</b>	<b>Last Name</b>	<b>First Name</b>	<b>Middle Name</b>
		Rodriguez	Frank	Marines
<b>Job Change Reasons</b>	<div> <input checked="" type="checkbox"/> 01 New Hire         <input type="checkbox"/> 11 Market-Base Increase         <input type="checkbox"/> 99 Other Job Change       </div> <div> <input type="checkbox"/> 02 Promotion         <input type="checkbox"/> 12 Classification Change         <input type="checkbox"/> 20 Separation       </div> <div> <input type="checkbox"/> 03 Demotion         <input type="checkbox"/> 13 Work Week Change         Reason:       </div> <div> <input type="checkbox"/> 04 Status Change         <input type="checkbox"/> 14 Leave of Absence         Check       </div> <div> <input type="checkbox"/> 05 Transfer         <input type="checkbox"/> 15 FMLA LOA         ONE       </div> <div> <input type="checkbox"/> 06 Reassignment         <input type="checkbox"/> 16 Military LOA         Only       </div> <div> <input type="checkbox"/> 07 Salary Adjustment         <input type="checkbox"/> 17 Suspension       </div> <div> <input type="checkbox"/> 08 Temporary Adjustment         <input type="checkbox"/> 18 Inactive Temporary       </div> <div> <input type="checkbox"/> 09 Skill-Based Increase         <input type="checkbox"/> 19 Reinstatement       </div> <div> <input type="checkbox"/> 10 Longevity Increase         <input type="checkbox"/> 98 Performance Pay Adjustment       </div> <div> <input type="checkbox"/> 01 Resigned       </div> <div> <input type="checkbox"/> 02 Resigned - No Rehire*       </div> <div> <input type="checkbox"/> 03 Terminated       </div> <div> <input type="checkbox"/> 04 Terminated - No Rehire*       </div> <div> <input type="checkbox"/> 05 Retired       </div> <div> <input type="checkbox"/> 06 Work Complete       </div> <div> <input type="checkbox"/> 07 Deceased       </div> <div> <input type="checkbox"/> 08 Laid-Off       </div>			
*Requires City Manager Approval				
<b>Job Information</b>	<b>Department</b>		<b>Work Phone/Ext.</b>	
Enter Changes On Line Below Current Information	416010 Mayor's Council			
	<b>Position Number</b>	<b>Title</b>	<b>Staffing Level</b>	
	110652	Council Executive Secretary	01 Worker	
	<b>Hourly Rate</b>	<b>Salary Grade</b>	<b>Step</b>	<b>Work Week</b>
	26.45	BA8		40
	<b>Employee Class</b>	<b>FICA Exempt?</b>		
	02 Standard Exempt	<input type="checkbox"/> OASDI		
		<input type="checkbox"/> Medicare		
<b>Location</b>	<b>Labor Distribution</b> Attach Labor Distribution form for multiple labor distributions.			
440400	5150	4200	4402	100%
<b>System Generated Information</b>	<b>Job Status</b>	<b>Job Begin</b>	<b>Job End</b>	<b>Previous Action</b>
	<b>FTE</b>	<b>Base Week</b>	<b>Current Hire</b>	<b>Adjusted Service</b>
	<b>Benefit Category</b>		<b>Leave Category</b>	
<b>Comments</b>	City Council Executive Assistant in lieu of Government Relations Deputy Officer.			
<b>Approvals</b>	<div>           Randy Moore 4/23/15           <div>             Department Liaison             Date           </div> </div> <div>           Edm Cur 4/23/2014           <div>             HRD Compensation/Employment             Date           </div> </div> <div>           Department           Date           Director, Human Resources Department           Date         </div> <div>           Releasing Department (for Transfers)           Date           City Manager/Other           Date         </div>			



**From:** Frank Rodriguez  
**To:** [Wick, Jim](#)  
**Cc:** [Cortez, John Michael](#); [Adler, Steve](#)  
**Subject:** Leaving Nonprofit  
**Date:** Wednesday, April 15, 2015 4:06:26 PM

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FYI -- My last day to work with the Latino HealthCare Forum is on Friday and I will start on Monday full-time with the Mayor's office. I had to let them everyone in the organization know this week and several people in the health care industry that I do business with know about this as well. I didn't know if you were intending to let anyone know before others possibly picked up on this. Let me know if I need to do something. FMR

Frank M. Rodriguez  
P.O. Box 1271  
Austin, Texas 78767  


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**From:** Shack, Barbara  
**To:** [Adler, Steve](#); [Cortez, John Michael](#)  
**Subject:** FW: Financial Disclosure  
**Date:** Tuesday, February 17, 2015 3:10:19 PM

---

fyi

Barbara Shack  
Assistant to the Mayor  
City of Austin  
512.978.2100  
[Barbara.Shack@austintexas.gov](mailto:Barbara.Shack@austintexas.gov)

---

**From:** Frank Rodriguez [REDACTED]  
**Sent:** Monday, February 16, 2015 1:52 PM  
**To:** Shack, Barbara  
**Subject:** Re: Financial Disclosure

Barbara,

I'll do this right away. Also, previously I had let the Mayor know that I would volunteer my time as a part-time Senior/Community Advisor. I've had numerous suggestions from trusted advisors that in order to effectively promote the Mayor's agenda I should resign from my current position as the Director of the Latino HealthCare Forum, a nonprofit, and work full-time for the City if the Mayor decides to ask the City to fund these positions. I can discuss further with the Mayor. Just wanted to give him a heads up in the event he is working on a budget proposal and moving fast. Please convey this to him. Thanks. FMR

Frank Rodriguez  
P.O. Box 1271  
Austin Texas 78767  
[REDACTED]

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On Feb 16, 2015, at 9:39 AM, Shack, Barbara <[Barbara.Shack@austintexas.gov](mailto:Barbara.Shack@austintexas.gov)> wrote:

Good Morning,

Here is the Financial Disclosure Form which needs to be submitted within 30 days after coming on board. Please send them back to me so I can be sure they are turned in.

Thank you,

Barbara

Barbara Shack  
Assistant to the Mayor  
City of Austin  
512.978.2100  
[Barbara.Shack@austintexas.gov](mailto:Barbara.Shack@austintexas.gov)

<financialdisc.pdf>

# SCOPE OF WORK PROPOSAL

To Assist Mayor Adler  
and the City of Austin  
With Research and Policy Initiatives



By Frank Rodriguez  
March 1, 2015



# Summary

This proposal is to outline of several areas of interest by Frank Rodriguez to assist the City of Austin as a volunteer until such time that decisions are made for permanent policy staff.

- Equitable Development – (1) to conduct empirical research on market, demographic, and policy trends that are affecting the City of Austin and the metro area; (2) to produce new ideas about the challenges that emerge from these trends, in order to stimulate change; and (3) to identify policy initiatives that will lead to shared learning and action.

## Discussion

### Equitable Development

Due to the success of Austin's growth local constituencies have galvanized around the issue and phenomenon of gentrification. There is widespread concern that some neighborhood revitalization efforts are destabilizing communities that have strong traditional and cultural significance for low-income people of color. People living in inner-city areas hope that the renewed interest in their neighborhoods portend an improvement in the quality of their lives. However, as they watch property values and rents rise, they worry that without knowledge, strategies and allies, the physical improvements that they have long sought will not be theirs to enjoy. As a result, there is powerful demand for reliable facts and useful policies that will enable community residents to embrace and fashion revitalization and maintain their residency.

The development patterns that lead to gentrification are shaped by a complex array of private and public actions at the local, regional, state, and federal levels. The patterns of growth and decline, investment and disinvestment occurring throughout the Austin metro area reflect more than simply economic opportunity and changing values. They also mirror failures to go to grips with issues of race and inequities. Avoiding or addressing the adverse consequences of gentrification on low income people of color, therefore, will ultimately require policy solutions at all levels that promote a genuine vision of regional fairness and inclusion that benefits of all residents in the region.

It is proposed that an equitable development framework be developed with policies and practices that combine people-based and place-based strategies; creation of new tools and instruments to enable low-income residents to gain an equity stake in the revitalization of their communities; and actively build the voices of residents so that they can become agents of change in the development process.

A policy approach is suggested that will:

1. Lay out the causes and the consequences of gentrification, both good and bad
2. Attempt to clarify the perspectives of various stakeholders with regard to gentrification; and finally,
3. Offer some practical strategies to address gentrification in the context of equitable development

There is no “silver” bullet to resolve the negative effects of gentrification. Gentrification is driven by an imbalance in housing supply and demand. The imbalance leads to many positive effects, but also affordability issues, displacement, and unanticipated changes in the character of a neighborhood. The tools are

available; many of the most effective strategies addressing these adverse effects of gentrification are already in place in some metro areas. Often these tools were developed in other contexts, but can put to effective use in addressing gentrification.

The process of gentrification can be displayed graphically, as shown below:

THE GENTRIFICATION PROCESS		
<u>CAUSES/DRIVERS/ENABLERS</u>	<u>PROCESS</u>	<u>CONSEQUENCES</u>
Job Growth—CBD or regional Housing Market Dynamics Constrained supply Affordability High demand Preferences for Urban Living Public Incentives—Direct and Indirect Quality-of-Life Issues	Gentrification	Displacement Increased Tax Revenues Increased Income Mix Deconcentration of Poverty Changing Street Flavor Changing Leadership/Institutions Changing Income Mix Increased Property Values

The more fundamental current challenges are organizational: how to anticipate gentrification pressures at a point when the process can be affected, and how to build political capital needed to implement or expand the strategies in the neighborhoods undergoing gentrification.

The goal is equitable development, *“the creation and maintenance of economically and socially diverse communities that are stable over the long term, through means that generate a minimum of transition costs that fall unfairly on lower income residents.”*

❖ This item supports the Mayor’s working affordability agenda:

- Economic Development Incentives that Serve Our Values
- Empowerment of the Nonprofit Sector
- Growth That Pays for Itself



**From:** Stephen Adler  
**To:** [Cortez, John Michael](#); [Cardenas, Nancy](#)  
**Cc:** [Adler, Steve](#)  
**Subject:** Fwd: Re: Resignation from Hispanic/Latino Quality of Life Advisory Commission  
**Date:** Monday, March 16, 2015 2:47:04 PM

---

re appointment to Hispanic Quality of Life Commission.

Are there other vacancies on this commission?

s

Steve Adler

----- Forwarded message -----

**From:** Isabel Rios <[REDACTED]>  
**Date:** Sat, Mar 14, 2015 at 9:05 PM  
**Subject:** Fwd: Re: Resignation from Hispanic/Latino Quality of Life Advisory Commission  
**To:** Steve Adler <[REDACTED]>

FYI

Also know for a fact that she will reappoint José Velazquez instead of someone from our district.

Question, how many people can a councilmember appoint per comision?

----- Forwarded message -----

**From:** Delia Garza <[REDACTED]>  
**Date:** Mar 14, 2015 8:20 AM  
**Subject:** Re: Resignation from Hispanic/Latino Quality of Life Advisory Commission  
**To:** jane Rivera <[REDACTED]>  
**Cc:** Susana Almanza <[REDACTED]>, "Alberto C. Gonzalez" <[REDACTED]>, Alejandro Caceres <[REDACTED]>, Alfonso Gonzales <[REDACTED]>, "Alfredo R. Santos" <[REDACTED]>, Alicia Perez Hodge <[REDACTED]>, Amaru Necuamehl <[REDACTED]>, Angela Valenzuela <[REDACTED]>, Anita Quintanilla <[REDACTED]>, Anita Villalobos <[REDACTED]>, Anna Maciel <[REDACTED]>, Arturo Garcia <[REDACTED]>, Brandon Perez <[REDACTED]>, Brigido Mireles <[REDACTED]>, Caly Fernandez <[REDACTED]>, Carl Webb <[REDACTED]>, Celeste Ruiz <[REDACTED]>, Chris Milk <[REDACTED]>, "Cynthia Valadez Jr." <[REDACTED]>, Cynthia Valadez <[REDACTED]>, Dan Arellano <[REDACTED]>, Daniel Baladez <[REDACTED]>, Daniel Gomez <[REDACTED]>, daniel llanes <[REDACTED]>, Dave Cortez <[REDACTED]>, Diana Castaneda-Herrera <[REDACTED]>, Diana Tavera <[REDACTED]>, Dionisio Salazar <[REDACTED]>, Eli Santiago <[REDACTED]>, Eli Santiago <[REDACTED]>, Emilio Zamora <[REDACTED]>, Ernesto Calderon <[REDACTED]>, Esther Portillo <[REDACTED]>

Gonzales <[REDACTED]>, Frank Rodriguez  
 [REDACTED] >, Fred Cantu <[REDACTED]>, George Morales III  
 [REDACTED] >, Gilbert Rivera <[REDACTED]>, Gloria  
 Espitia >, Griselda Lopez <[REDACTED]>, Harish  
 Kotecha <[REDACTED]>, Isabel Rios <[REDACTED]>, Isla Flores  
 [REDACTED] >, Jason Longoria <[REDACTED]>, Jayme Mathias  
 [REDACTED] >, Jayshree Vakil <[REDACTED]>, Jill Ramirez  
 [REDACTED] <[REDACTED]>, Johnny Limon <[REDACTED]>, Jose Uriegas  
 [REDACTED] >, Jose Valera <[REDACTED]>, Juan Oyervides  
 [REDACTED] >, Justin Rodriguez <[REDACTED]>, Kathy Isabel Mariscal  
 [REDACTED] >, Kathy Vale <[REDACTED]>, Kazique Prince  
 [REDACTED] >, Larry Amaro <[REDACTED]>, "Leonard Davila  
 [REDACTED] >, Liz Lopez <[REDACTED]>, Lydia  
 Hernandez >, Manuel Garcia <[REDACTED]>, Manuel  
 Jimenez <[REDACTED]>, Marcelo Tafoya <[REDACTED]>, Maria  
 Solis <[REDACTED]>, Mario Cantu <[REDACTED]>, Marylou Castillo  
 [REDACTED] >, Mike Flores <[REDACTED]>, Monica  
 Guzman >, Monica Sanchez <[REDACTED]>, "Orlando S.  
 Mata" <[REDACTED]>, Patricia Lopez <[REDACTED]>, Paul Barton  
 [REDACTED] >, Peggy Vasquez <[REDACTED]>, Pete Rivera  
 [REDACTED] >, Rachael Torres <[REDACTED]>, Remi  
 Carbajal >, Rene Renteria <[REDACTED]>, Ricardo Zavala  
 [REDACTED] >, "Robert R. Ojeda" <[REDACTED]>, Rockie  
 Gonzalez >, Rosa Maria Gonzalez <[REDACTED]>, Ross  
 Gomez >, Skylar Bonilla <[REDACTED]>, Tane Ward  
 [REDACTED] >, Teresa Perez-Wisely <[REDACTED]>, Tim Mahoney  
 [REDACTED] >, Tom Herrera <[REDACTED]>, Valerie Menard  
 [REDACTED] >

My office will work on this Monday so we can get folks appointed ASAP. Please email [Alexandra.landeros@austintexas.gov](mailto:Alexandra.landeros@austintexas.gov) if you are interested in serving on the HQL.

Delia Garza

Sent from my iPhone

On Mar 14, 2015, at 12:33 AM, jane Rivera <[REDACTED]> wrote:

I agree. Topic for Raza Round Table--make this a demand of the Mayor since he says he wants to help us.

Jane

Sent from my iPhone

On Mar 13, 2015, at 11:20 PM, Susana Almanza <[REDACTED]> wrote:

Becoming the senior advisor for Mayor Steve Adler is good news for Frank

Rodriguez (congratulations!), but bad news for the Hispanic/Latino Quality of Life Resource Commission. At last month's meeting they barely made a quorum due to resignations. Now the Hispanic/Latino Quality of Life Resource Commission will not have a quorum and will not be able to meet (staff informed everyone that without a quorum they could not even listen or have a discussion). I would like to have Frank look into the quorum regulations, since appointments will not happen until June 2015 (unless, as the Mayor's Advisor Frank can get people appointed immediately). Again, with another late start, the Hispanic/Latino Quality of Life Resource Commission will be unable to impact the 2016 Budget. Susana Almanza, PODER

On Fri, Mar 13, 2015 at 3:37 PM, Jane Rivera [REDACTED] > wrote:

All, from Frank.

Jane

---

**From:** Frank Rodriguez [mailto:[\[REDACTED\]](#)]  
**Sent:** Tuesday, March 10, 2015 9:11 AM  
**To:** Jane H Rivera  
**Subject:** Resignation from Hispanic/Latino Quality of Life Advisory Commission

Jane,

I will start assisting the Mayor as a senior policy advisor on a volunteer basis. As I may be helping with matters that the Commission deals with I think it best that I resign with the Commission. As the first Chair of this new Commission I am proud of the work we accomplished in a very short timeframe and your support through the Raza Roundtable has enabled us to get this far. I look forward in working with you in my new role and capacity and I will keep you updated. Gracias. FMR

*¡Hasta la Victoria Siempre!*

--

Frank M. Rodriguez  
P.O. Box 1271  
Austin, Texas 78767  
[REDACTED]

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PODER  
P.O. Box 6237  
Austin, TX 78762-6237  
[www.poder-texas.org](http://www.poder-texas.org)



**From:** Frank Rodriguez  
**To:** [Wick, Jim](#)  
**Cc:** [Cortez, John Michael](#); [Adler, Steve](#)  
**Subject:** Leaving Nonprofit  
**Date:** Wednesday, April 15, 2015 4:06:26 PM

---

FYI -- My last day to work with the Latino HealthCare Forum is on Friday and I will start on Monday full-time with the Mayor's office. I had to let them everyone in the organization know this week and several people in the health care industry that I do business with know about this as well. I didn't know if you were intending to let anyone know before others possibly picked up on this. Let me know if I need to do something. FMR

Frank M. Rodriguez  
P.O. Box 1271  
Austin, Texas 78767  
c 

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## Board and Commission Applicant Information

**Ramirez, Jill**

Date of Application Received March 23, 2015

**Applicant Name:** Ramirez, Jill

**Mail Address:** 5309 Presidio Rd, Austin, TX, 78745

**Email Address:** [REDACTED]

**Phone Number:** • [REDACTED] (Preferred)

**Ethnicity:** Hispanic

**Gender:** Female

**District:** 3

**City of Austin Resident:** Yes

**Employer:** Serie Print Project

**Occupation:** Educator

**Disability:**

**Resume:**

**Board or Commission Name and Specific Qualificaitons:**

- **Hispanic/Latino Quality of Life Resource Advisory Commission**

Qualifications: I have resided in Austin since 1984 while attending the University of Texas at Austin. Over the years, I have been involved in many civic and professional organizations because of my passion for giving private residents a voice, particularly Latinos. I have a Masters degree in Education with emphasis on bilingualism, early education and disabiities. I know I want to keep Austin affordable with equity for everyone.

**POSITION DESCRIPTION:**

The Office of the Mayor is seeking a qualified individual to serve as a Senior Policy Advisor to the Mayor. This position will lead Mayoral priority initiatives, make recommendations and develop action plans for meeting objectives. The Senior Policy Advisor also serves as the Mayor's Office liaison to reporting departments, community organizations, business community and other public and private agencies.

**NOTE: This job opportunity is also available to City employees as an out-of-classification assignment.**

**JOB RESPONSIBILITIES:**

- Lead initiatives within an assigned policy portfolio.
- Work with Directors and department staff to design and implement short and long term Mayor's Office priorities.
- Assure that projects are consistent with City policy and that the City's limited resources are deployed appropriately.
- Provide ongoing leadership and project management, oversee progress on implementation.
- Drive policy priorities through government and legislative process.
- Collaborate on problem solving of key issues as they arise.
- Develop and maintain positive working relationships with community organizations, residents, business community, non-profit organizations, and government agencies as a representative of the Mayor's Office.
- Advise the Mayor, Deputy Mayor, Chief of Staff, and Director of Policy and Operations on progress in policy areas and developing events.
- Attend Senior Team briefings with the Mayor and Directors.
- Provide direction and information to Policy Analysts, Communications, and other Mayor's Office staff for communications and events being prepared in policy areas.
- Flexible and available for emergency situations in which you may be assigned a role.
- Represent the Mayor's Office at key events.

The primary area of focus is flexible depending on experience. Emphasis may be on utilities, infrastructure, environment, health, public safety, education, parks, human services, economic development, transportation, community development and/or personnel, labor and operations.

**QUALIFICATIONS:****Required Qualifications:**

A Bachelor's degree in public policy, planning, finance, economics, public administration, and/or a related field. A minimum of three years of progressively responsible work involving policy and issues analysis in areas such as finance, budget or policy analysis, transportation, utilities, community development, personnel and labor or operations (or a combination of education and/or training and/or experience which provides an equivalent background required to perform the work of the job).

**Desired Qualifications:**

Ability to work in a fast paced environment with high work volume; creative problem solving; proven success at driving outcomes and results; ability to communicate and work effectively with a diverse set of stakeholders.

The Office for Policy and Innovation (OPI) in the Seattle Mayor's Office covers a wide range of issues, including land use, transportation, human services, public health, technology, public safety, affordable housing, and sustainability. Policy Advisors lead major policy initiatives--and work in concert with Senior Policy Advisors--on these and other topics being

driven out of the Mayor's Office, and help review, revise, and refine policy initiatives driven by departments, City Council, or the community.

In so doing, Policy Advisors conduct research and analysis on public policy and budget issues; evaluate proposed policy initiatives; draft legislation and make recommendations to the OPI Director, other senior staff, and the Mayor on a wide range of policy and budget issues--local, regional, state, and national. In carrying this out, OPI Policy Advisors, in general, take on large, multi-disciplinary projects, helping manage projects in concert with other policy advisors; budget and fiscal policy analysts; City departmental staff; and others. These projects span many months, and often culminate in new policy, law, procedures, or programs, with real impacts on public life.

We are looking for candidates who enjoy both specialization and variety: the ideal candidate has demonstrated in previous professional settings an ability to gain a command of new subject matters quickly, while at the same time developing expertise in specific topic areas. This combination means that Policy Advisors are able both to deepen and to broaden their experience, alongside other colleagues who enjoy the same opportunity. Further, OPI is a collegial work unit that strives to encourage cooperation and collaboration. We encourage advisors to further develop their ability to build a professional and intellectual community, and to provide and receive critical input in a professional and positive manner.

In this role, you will have the opportunity to:

- Analyze facts and apply criteria, regulations, rules and procedures; recommend appropriate courses of action
- Analyze policy proposals, develop and evaluate alternative policy choices, and provide options and recommendations
- Prepare thorough and concise written reports, including issue papers, decision agendas, and executive summaries
- Prepare and deliver oral presentations summarizing key elements of analysis and recommendations
- Ensure progress on projects involving key staff
- Create work plans and design decision-making processes
- Review, edit and draft legislation
- Potentially lead a team of internal and/or external stakeholders in research and policy development

You will be effective in this role if you can:

- Work effectively in situations where conflicting viewpoints exist
- Build open communications and dialog in diverse settings
- Work within and lead project teams
- Help plan and staff large task forces of external stakeholders
- Juggle multiple projects and meet concurrent deadlines
- Make independent judgments and operate with minimal supervision

In this role, you will be encouraged to:



- Take the initiative to learn new substantive areas and gain new skills
- Assist the Director and Deputy Director in ongoing efforts to provide cultural and intellectual development to the team
- Build relationships with colleagues in other Mayor's Office work units, and with professionals in other cities' mayor's offices

To be considered for this role, you will need:

Education: A Bachelor's degree in policy, public administration or related field OR two additional years of qualifying experience

Experience: At least three years related professional experience

Ideally, you would have:

A graduate degree in public administration or a related field

Experience in government sector work, including policy analysis and project management

Knowledge of Seattle City government, policies, regulations and neighborhoods


 Received  
 Human Resources Dept  
 Records Division

## MEMORANDUM

2016 AUG 10 PM 5:39

**TO:** Bryan Dore, Interim Compensation Manager  
**FROM:** Ed Gilbert, Compensation Consultant *EG*  
**DATE:** December 16, 2015  
**SUBJECT:** Salary Adjustment, Mayor & Council, City Council Executive Assistant,  
 Frank Rodriguez, PCN115959

**Department Request:**

The Mayor & Council office is requesting a salary increase for Frank Rodriguez.

Name	Current Pay Grade	PG Mid-Point	Current Pay	Proposed Pay Rate	% Above Mid-Point	% Above Current Pay
Frank Rodriguez	14	59,051	39,166	52,000	-11.9%	32.8%

**Department Reason:**

Mayor & Council has made this request to recognize a change in Mr. Rodriguez's policy related responsibilities.

**Compensation Analysis:**

Salary adjustments are general considered in only a few situations: a substantial increase in in responsibilities, to retain a key employee who is creditably at risk of departure, or to correct processing errors. Mayor & Council's request aligns with an increase in responsibilities.

**Compensation Recommendation:**

Since Mr. Rodriguez is performing work within his classification, but at a higher level, it is appropriate to adjust his pay rate to reflect his new duties and responsibilities. The Mayor & Council workgroup determine their employee's rate of pay and the proposed salary of \$52,000/year is within the pay range for this classification. **Compensation recommends adjusting his salary.**

☒ Concur / ☐ Do not concur

*Bryan Dore*

Bryan Dore, Interim Compensation Manager

12/17/15  
Date

☒ Concur / ☐ Do not concur

*Rebecca Kennedy*

Rebecca Kennedy, Acting Assistant Director of Human Resources

12/21/15  
Date

☒ Concur / ☐ Do not concur

*Joya Hayes*

Joya Hayes, Acting Director of Human Resources and Civil Service

12-21-15  
Date

**From:** Stanford, Jason  
**To:** [Rodriguez, Frank](#)  
**Subject:** heads up  
**Date:** Monday, February 06, 2017 5:11:21 PM

---

**Submitted by:** Barasch, Carole  
**Department:** Health and Human Services  
**ID::** [29220](#)

**Assigned To:** Barasch, Carole  
**Cell/Pager:** 802-1503  
**PIR:** No

**Health and Human Services:** Austin American-Statesman is requesting information on social services contracts with the Latino Healthcare Forum and the process that led to the contracts.

**City Response/Action:** Austin Public Health has two contracts with the organization--one contract is Restore Rundberg (Phase II). The second contract is Secure Your Health, which educates Austin area residents about the Affordable Care Act, helps them select, enroll and maintain health insurance. They were both Commission recommendations sent to Council for consideration in the budget during the budget process this past summer.

**Affiliate**

AAS - Hicks, Nolan

Jason Stanford  
Communications Director  
Office of Mayor Steve Adler, City of Austin  
301 Willie Nelson Blvd.  
Austin, TX 78701

512-978-2153 (direct)  
512-619-5756 (cell)  
[Jason.Stanford@austintexas.gov](mailto:Jason.Stanford@austintexas.gov)

Sign up for email updates from the Mayor at [mayoradler.com/](http://mayoradler.com/).  
Follow the Mayor on Twitter [@mayoradler](https://twitter.com/mayoradler).  
Argue with strangers about the Mayor on his [Facebook page](#).



## Personnel Action

Printed: October 30, 2017 01:38:02

Prepared:

Effective:

Entered:

11	03	17
Beth 11/2/17		

Employee Identification	Social Security Number [REDACTED]	Last Name Rodriguez	First Name Frank	Middle Name Marines
** Job Change Reasons  Check ONE Only	<div style="display: flex; flex-wrap: wrap;"> <div style="width: 33%;"> <input type="checkbox"/> 01 New Hire <input type="checkbox"/> 02 Promotion <input type="checkbox"/> 03 Demotion <input type="checkbox"/> 04 Status Change <input type="checkbox"/> 05 Transfer <input type="checkbox"/> 06 Reassignment <input type="checkbox"/> 07 Salary Adjustment <input type="checkbox"/> 08 Temporary Adjustment <input type="checkbox"/> 09 Skill-Based Increase <input type="checkbox"/> 10 Longevity Increase         </div> <div style="width: 33%;"> <input type="checkbox"/> 11 Market-Based Increase <input type="checkbox"/> 12 Classification Change <input type="checkbox"/> 13 Work Week Change <input type="checkbox"/> 14 Leave of Absence <input type="checkbox"/> 15 FMLA LOA <input type="checkbox"/> 16 Military LOA <input type="checkbox"/> 17 Suspension <input type="checkbox"/> 18 Inactive Temporary <input type="checkbox"/> 19 Reinstatement <input type="checkbox"/> 22 Career Progression         </div> <div style="width: 33%;"> <input type="checkbox"/> 98 Performance Pay Adj. <input type="checkbox"/> 99 Other Job Change <input checked="" type="checkbox"/> 20 Separation         </div> </div> <div style="margin-top: 10px;">           Sep Reason: Check ONE only            *Requires City Manager Approval  <input checked="" type="checkbox"/> 01 Resigned  <input type="checkbox"/> 02 Resigned -- No Rehire*  <input type="checkbox"/> 03 Terminated  <input type="checkbox"/> 04 Terminated -- No Rehire*  <input type="checkbox"/> 05 Retired  <input type="checkbox"/> 06 Work Complete  <input type="checkbox"/> 07 Deceased  <input type="checkbox"/> 08 Laid-Off  <input type="checkbox"/> 09 Termination-AB 94-02         </div>			
Job Information  Enter Changes On Line Below Current Information	<div style="display: flex; justify-content: space-between;"> <div>           Department 41G010 Mayor And Council         </div> <div>           Work Phone/Ext. 978-2131         </div> </div> <div style="display: flex; justify-content: space-between; margin-top: 10px;"> <div>           Position Number 115959         </div> <div>           Title City Council Exec Assistant         </div> <div>           Staffing Level 01 Worker         </div> </div> <div style="display: flex; justify-content: space-between; margin-top: 10px;"> <div>           Hourly Rate 29.140         </div> <div>           Salary Grade BB6         </div> <div>           Step  </div> <div>           Work Week 40         </div> <div>           Employee Class 02 Standard/Exempt         </div> <div>           FICA Exempt?  <input checked="" type="checkbox"/> OASDI  <input checked="" type="checkbox"/> Medicare         </div> </div> <div style="display: flex; justify-content: space-between; margin-top: 10px;"> <div>           Location U40400         </div> <div>           Labor Distribution            5150    4100    4111    100%         </div> </div> <div style="display: flex; justify-content: space-between; margin-top: 10px;"> <div>           Fund  </div> <div>           Dept  </div> <div>           Unit  </div> <div>           SubUnit  </div> <div>           Activity  </div> <div>           Function  </div> <div>           Rptg  </div> <div>           Percent  </div> </div>			
System Generated Information	<div style="display: flex; justify-content: space-between;"> <div>           Job Status A Active         </div> <div>           Job Begin 09/20/2015         </div> <div>           Job End  </div> <div>           Previous Action 07 Salary Adjustment         </div> <div>           Effective 12/25/2016         </div> </div> <div style="display: flex; justify-content: space-between; margin-top: 10px;"> <div>           FTE 1.000         </div> <div>           Base Week 40         </div> <div>           Current Hire 04/20/2015         </div> <div>           Adjusted Service 04/20/2015         </div> <div>           Benefit Category 01 Standard (30+ hours)         </div> <div>           Leave Category 01 Standard (40)         </div> </div>			
Comments	<div style="height: 40px;"></div>			
Approvals	<div style="display: flex; justify-content: space-between;"> <div>             Department Liaison _____ Date _____         </div> <div>           HRD Compensation/Employment _____ Date _____         </div> </div> <div style="display: flex; justify-content: space-between; margin-top: 10px;"> <div>           Department _____ Date _____         </div> <div>           Director, Human Resources Department _____ Date _____         </div> </div> <div style="display: flex; justify-content: space-between; margin-top: 10px;"> <div>           Releasing Department (for Transfers) _____ Date _____         </div> <div>           City Manager/Other _____ Date _____         </div> </div>			

## Bertin, Beth

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**From:** Rodriguez, Frank  
**Sent:** Monday, October 30, 2017 10:34 AM  
**To:** Bertin, Beth  
**Subject:** Re: Checking-in

Last day is this Friday. I would like to donate my remaining sick leave to the pool. How do I do this? Thanks for all your help. FMR

--  
**Frank Rodriguez**, Senior Policy Advisor | Office of Austin Mayor Steve Adler  
Austin City Hall | 301 W. Willie Nelson Blvd | Austin TX 78701  
512.978.2131 (office) | 512.585.7185 (cell)  
Email: [frank.rodriguez@austintexas.gov](mailto:frank.rodriguez@austintexas.gov)

On Oct 30, 2017, at 9:31 AM, Bertin, Beth <[Beth.Bertin@austintexas.gov](mailto:Beth.Bertin@austintexas.gov)> wrote:

Frank –  
Just wanted to check-in.  
Let me know if you've made a decision on how to move forward.

Thanks,

Beth Bertin  
Human Resources Coordinator  
Human Resources Department, Quality Assurance  
512-974-2368





**HISPANIC/LATINO QUALITY OF LIFE RESOURCE ADVISORY COMMISSION  
REGULAR MEETING August 13, 2014 MINUTES**

The Hispanic/Latino Quality of Life Resource Advisory Commission convened in a regular meeting on Wednesday August 13, 2014 at the Street Jones Building.

The Board Meeting was called to order at 6:14 p.m.

Board Members in Attendance: Frank Rodriguez, Alicia Del Rio, Emilio Zamora and Martha Cotera

Staff in Attendance: Jason Garza, Assistant to the Assistant City Manager

**1. Citizens Communication**

No citizens were signed up to speak.

**2. Discussion and possible action to provide budget priority recommendations from the Hispanic/Latino Quality of Life report to the Austin City Council to consider for inclusion in the FY 2014-2015 budget.**

A motion was made to approve and forward the budget priority recommendation matrix to the City Council for possible inclusion in the upcoming 2014-2015 budget with the understanding that other recommendations could be made at the next regular meeting of the Commission. The motion was made by Commissioner Zamora and seconded by Commissioner Del Rio. The motion was approved unanimously with Vice-Chair Moncada-Martinez and Commissioner Renteria absent.

**3. Adjourn**

The Meeting adjourned at 6:20 pm.



**HISPANIC/LATINO QUALITY OF LIFE ADVISORY COMMISSION  
RECOMMENDATION 20140813-002**

Date: August 13, 2014

Subject: Discussion and possible action to provide budget priority recommendations from the Hispanic/Latino Quality of Life report to the Austin City Council to consider for inclusion in the FY 2014-2015 budget.

Motioned By: Commission Zamora

Seconded By: Commissioner Del Rio

**Recommendation:** Approve and forward the budget priority recommendation matrix to the City Council for possible inclusion in the upcoming 2014-2015 budget with the understanding that other recommendations could be made at the next regular meeting of the Commission.

**Description of Recommendation to Council**

*The budget priority recommendations matrix is attached for Council consideration for possible inclusion in the upcoming 2014-2015 City of Austin budget.*

**Vote: 4-0**

For: Chair Rodriguez, Commissioner Del Rio, Commissioner Zamora, Commissioner Cotera

Against: None

Abstain: None

Absent: Vice-Chair Moncada-Martinez, Commissioner Renteria

Attest: *[Staff or board member can sign]*

Department	HQL COT Recommendation (with corresponding page # in HQL Report)	Description of Staff Recommendation/Commissioner Support for Recommendation	FY15 Funding Needed	Commissioner Priority
Implementation Dependent upon Council Action				
City Council	Parity Principle	The Parity Principle is a guiding standard of equality that the City Council and the city staff should consistently and explicitly apply to insure fair ethnic, gender, and socio-economic representation in programs designed and implemented to serve the general population. The City Council should recommit the city to adopt and implement an over-arching principle of parity to encourage public trust in local government. This meets the critical need of insuring equity as well as in encouraging trust in the democratic process and local government officials. Enunciating a parity principle and instructing the city staff to abide by it cannot be replicated in any other way. Also, it does not require an expenditure of funds.	N/A	Zamora
APL (AHC)	(Pg. 52) Provide sufficient funding for staff and programs focusing on Austin Hispanic/Latino historical significance.	Currently, there is 0.5 FTE doing Mexican-American programming and outreach. Additional funding would cover the program supplies, speaker fees, and facilities rentals needed to increase the number of programs focusing on Mexican American history in Austin.	\$41,500.00	Zamora
APL (AHC)	(Pg. 52) Provide sufficient funding for staff and programs focusing on Austin Hispanic/Latino historical significance.	Currently, there is 0.5 FTE doing Mexican-American programming and outreach. An additional 0.5 FTE is needed to increase capacity in this area. Personnel costs for half-time Program Coordinator to manage the programming efforts of the Mexican American Community Archivist including marketing materials and supplies and also to expand work that includes the transcribing of over 75 (1.5—3hours) tapes of sound recordings, the processing of other archival records, and the preparation of narrative histories of Hispanic/Latino communities in Austin based on these interviews and archival records that have been collected in the last five years. The additional costs should have been anticipated given the necessary work of converting recorded interviews into transcripts and in interpreting the research to produce historical materials for the public. Investing in collecting archival and oral history records is commendable but this is a limited and ultimately counter-productive if the materials are not transferred into narrative form to share with the public electronically and in the traditional print form. The transcribed interviews, processed records, and narrative products will also enhance the public programming as well as a new interest by Austin ISD and curriculum specialists from the University of Texas in developing curriculum for elementary grades on local Hispanic/Latino history.	\$40,000.00	Zamora, Coteria
HHSD	(Pg. 80) Develop comprehensive prenatal health policy.	The implementation of this activity requires research, collaboration with multiple health entities, and stakeholder meetings to ensure comprehensive policy development. HHSD would require the specialized expertise of a consultant that would lead policy development and serve as the liaison between HHSD and the HQL initiative.	\$50,000.00	Padilla
HHSD	(Pg.29) The City needs to collaborate with local ISDs to develop strategies and programs aimed at reducing the number of homeless youth and those suffering from student mobility each year.	HHSD is a member of the Joint City County AISD student mobility taskforce focusing on housing stability for youth and their families. The Taskforce will be making recommendations to the Joint Subcommittee in the Fall 2013.  It is anticipated that additional services resulting from the recommendations would be phased in over two years. The first year would focus on assessment of need, program framework and program development activities and require \$83,552 for 1 HHS Program Coordinator to facilitate assessment and development of additional recommendations. In the 2nd year, we would implement recommendations and request funding to provide a competitive process to provide both case management services and coordination at targeted schools (contract amount \$250,000) and provide funding through a competitive process for an entity to work with homeless youth throughout the community (contract amount \$100,000).	\$83,522.00	Padilla
HHSD	(Pg. 80) Fund and implement a Prenatal through Pre-Kindergarten continuum program to allow for consistent education delivery to children most in need.	To implement this recommendation, HHSD would need an additional \$500,0000 to increase Early Education contract funding to provide more child care slots. In addition, an HHS Program Coordinator would be needed to manage the contracts and assist in developing and coordinating collaborative community strategies.	\$583,235.00	Coteria, Padilla

HR	(Pg. 84) Conduct extensive training with City staff regarding cultural competence.	HRD has been conducting Citywide cultural competence training to 1,150 employees/year (one class/week for 48 weeks, 24 participants/class); currently an existing 0.50 FTE is dedicated to this effort. With an additional FTE, up to 3,450 employees could be trained per year offering the class 3 times per week.	\$108,870.00	<b>Zamora - expand to include college students</b>
HR	(Pg.30) The creation of a Citywide Youth Employment/Internship Office would provide outreach for employment opportunities.	Beginning in FY13, the Youth/Family Outreach Program Manager dedicates approximately 1/8 (13%) of their time to the summer youth employment program. For FY15, a new part-time (25%) HR Specialist would be needed to maintain and expand youth employment and internship opportunities on an year round basis.	\$19,640.00	<b>Padilla, Zamora - expand to include college students</b>
HR	(Pg. 30) Provide adequate funding to establish paid internships in various City departments throughout the year.	HRD recommends adding funding to hire approximately 20 total students throughout the fall, spring and summer. The students would work approximately 20 hours a week at \$11.00/per hour for a total cost of \$79,575. In addition, a new part-time (25%) HR Specialist would be needed to manage and coordinate Citywide youth internship efforts.	\$96,952.88	<b>Padilla, Zamora - expand to include college students</b>
HR	(Pg. 30) Look into possibly including into contracts with non-profits summer jobs/paid internship placement for youth and target low-income youth for employment and internship opportunities that pay a living wage.	In FY13, one-time grant funding was used for a summer internship program targeting disadvantaged youth initiated. To have this program in FY15, an additional \$16,800 will be needed to pay the summer interns. We recommend adding a new part-time (25%) HR Specialist to manage and coordinate this new effort.	\$34,178.00	<b>Padilla, Zamora - expand to include college students</b>
HR	(Pg. 65) In the past 15 years, the Hispanic/Latino community has lost senior staff members and is not participating in employment opportunities in rank and file employment with the City. We recommend a professional internship program with the City of Austin to recruit recent high school, community college and university Hispanic/Latino graduates for employment with the City.	To enhance services and establish a new professional internship program and develop current employees, HRD would need one new HR Specialist. One half of the FTE will focus on recruiting approximately 10 Hispanic undergraduate and graduate interns in the areas of engineering, technology and general public administration. Interns will be recruited from local area colleges and universities. The other half of the FTE would focus on developing emerging Hispanic leaders within the organization by recruiting employees into the existing Management and Executive Academies.	\$123,536.00	<b>Martinez-Moncada</b>
HR (Youth and Family Services)	(Pg.29) Encourage coordination and facilitation of Community-Based Leadership that would support both Youth Leadership Programs and Restorative Circles.	HRD would need a new part-time (50%) HR Consultant to work with community partners and organizations that work with youth.	\$45,446.00	<b>Padilla</b>
NHCD	(Pg. 42) Make City of Austin surplus public property available to non-profit housing groups to build affordable housing.	We support the recommendation to ensure surplus property be made available to non-profits through the City's affordable housing arm, , the Austin Housing Finance Corporation (AHFC). AHFC could own land and could make it available to developers of affordable housing. Typically, AHFC will retain ownership of the land and use a 99-year ground lease to the developer or the owner/operator of the development. The AHFC ground lease puts all responsibility on the owner/operator of the affordable housing.	\$0.00	<b>Renteria</b>
NHCD	(Pg. 42) Preserve Existing Affordable Units throughout city but particularly in East Austin by creating an employee giving program to support such efforts, to fund research around this topic that is useful and actionable, supporting community – based efforts to address this challenge, identifying policy changes that can provide long term relief to low-income homeowners.	This is done through the City of Austin's Combined Charities Program. The need for funding affordable housing repairs for both owners and renters is limited and restricted by federal income and eligibility criteria so that many Hispanics are not able to access City programs that preserve existing affordable housing. The City is unable to provide individuals tax relief. Low-income Hispanics in East Austin, especially seniors and disabled renters are unable to repair their homes due to lack of disposable income to make repairs, lack of credit, and it's just easier to sell off existing affordable homes than to find financial assistance. The City should look to set up a program (or coordinate with the existing program in place) where funds that are donated by City employees to organization that preserve affordable housing (through the current gift giving program) are matched by the City.	\$500,000.00	<b>Renteria</b>

PARD	(Pg.27) Create and/or enhance youth art, music, writing, theatre, dance and performing classes at recreation centers and look into offering music production and business workshops as means for youth development. The current enrichment component of the Recreation Center After School programs includes an arts component. This program could be expanded to be offered as a stand-alone class and offered in low-income areas.	<p>PARD currently provides an arts component at Summer camps and after school events programming (History arts and Nature Division, HAND), including in low income areas.</p> <p>An additional \$182,544 would provide PARD with the ability to offer a youth concert every month. Funding would cover a Recreation Program Instructor, security cost services, sound and lighting production services and funding for talent services.</p> <p>Another \$371,813 would provide PARD with the ability to conduct a Counselor in Training program to give teens job-readiness and marketable job skills. The program design consists of three tiers that participants will transition through including paid summer employment. The program will have core components, however will also include specialty tracks based on participant interest: outdoors, arts, sports and music.</p>	\$554,357.00	Cotera
PARD	(Pg.27) Expand the number of computer labs at recreation centers and offer more classes like the Connected Youth program at the Austin Public Library that teach basic skills that can help youth secure gainful employment. The City will begin the Roving Leaders program, which will include a portable computer lab that will serve the areas with the highest need. If the program proves to be successful, the City should expand of the program to impact more children.	To address this recommendation, PARD would like to add one computer lab with five new computers. A Network Systems Administrator is needed to handle all of the maintenance of the software and hardware of the labs. The computer lab would also require a Recreation Programs Instructor who would be responsible for all of the instructional classes in the lab including lesson plan development and actual instruction. Programs should teach STEM and financial literacy.	\$181,375.00	Martinez-Moncada, Padilla
PARD	(Pg. 28) Work to incorporate more co-ed sports (such as volleyball, kickball, etc.) into current program offerings and implement more organized activities for Hispanic females.	<p>PARD currently provides sports and recreation programming across the city, including low income areas.</p> <p>To address this recommendations, PARD would like to create a health and fitness program to target the young Hispanic female ages 10 -14 years with a focus on health and nutrition education and recreational (physical movement) experiences. The outcomes expected are improved fitness and increased knowledge and awareness of healthy foods and nutrition. Activities will include shopping for and preparing healthy foods, and participation in a variety of physical movements such as yoga, Zumba, outdoor trail walking, hiking, etc.</p> <p>This health and fitness program will require 12 new FTEs. Each of the three recreation center districts will have a Program Coordinators and 3 temporary Activity Specialists III. The program planning and coordination will be performed by the Recreation Program Specialists and the program implementation will be conducted by the Recreation Program Specialists with the assistance of the Activity Specialists as the Local Standards of Care for Parks and Recreation Youth Programs mandate a staff to youth participants ratio.</p>	\$390,701.00	Padilla
PARD	(Pg. 51) Service agreements with Latino Arts cultural arts organizations should be instituted. Art organizations would provide cultural arts services in exchange for facility usage and rentals.	Currently, the City runs the Latino Artist and Residency Program through the MACC. Four groups were recently selected to start their programs in the summer. The City contracts with Mexic-Arte to utilize their space for Totally Cool Totally Art's youth art show 1 time each year. Additional funding would allow the City to expand both of those programs.	\$283,698.00	Cotera
PDRD	(Pg. 52) The City of Austin should designate and officially name the 5th St. Mexican American Heritage Corridor through signage and promotion on official City information sites. Fund a Master Plan for the 5th Street Mexican American Heritage Corridor to provide a vision that would enhance the history of the Mexican Americans in downtown Austin. Include 5th Street in the Great Streets Program in next bond election.	Council action would be required to designate and officially name 5th Street as the Mexican American Heritage Corridor. Regarding the Great Street Program, 5th Street west of I-35 is included in the Great Streets Master Plan (plan area boundaries are E MLK, Cesar Chavez, Lamar, and I-35). Typical costs for street reconstruction and Great Streets streetscape improvements are approximately \$1M per block. Total project costs would depend on the scope developed in the planning and conceptual development. \$375,000 at a minimum is needed to begin the master plan process.	\$375,000.00	Martinez-Moncada, Cotera
PDRD	(Pg. 89) Imagine Austin should address neighborhood disparities. There are no sidewalks between Springdale and Bolm Road. There a bridge that goes over the railroad track. There a sidewalk on the bridge itself but other than that, there is nothing.	This facility is currently maintained by TxDOT, and an engineering-level cost estimate has not yet been developed. The City should move forward and ask TxDOT regarding the possible construction of sidewalks in front of their property.	\$0.00	Del Rio
PDRD/Real Estate	(Pg. 50) Protect the architectural integrity and view of the MACC by ensuring future development compliments the facility's integrity.	This is could be performed with existing PDR staff. The zoning and/or overlay would be processed through PDRD as a zoning case. Real Estate services would require an additional \$5,000 for overtime for an existing ORES employee to assist with the cost of land appraisals and consultant services.	\$5,000.00	Cotera

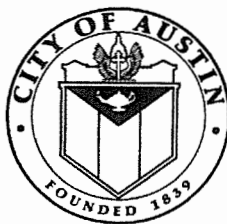


PARD	Revision to the ESBMACC Master Plan given the recent development of the area		N/A	Cotera
City Manager	City of Austin Diversity Office	<p>The Commission recommends that the City establish an Office of Diversity to address human rights and equity issues in an increasingly diverse population. The Office of Diversity should convene a committee of representatives from the world of business, labor, non-profits, and ethnic community organizations in a collaborative effort to develop a strategic plan that establishes mission and vision statements with short-range and long-range goals and objectives. Although the committee will give final definition to the Office of Diversity, it should be able to propose to the City Council policy recommendations to insure equity and fairness in all matters related to city governance and to publicly advocate tolerance and respect without regard to religion, race, color, national origin, age, disability, sexual orientation, gender, and socio-economic status. In short, the Office of Diversity should support, protect, and ensure basic human rights for all Austin residents. Our diverse community is expanding and the City of Austin has the responsibility to serve as a source of advocacy and recourse among its residents who deserve to be treated equally in the eyes of the law and by their fellow Austinites.</p> <p>Possible goals could include: a) promoting legal rights for all residents (e.g., a nondiscrimination ordinance in housing, realty, employment, public accommodation, and city activities); b) advancing an appreciation for diversity (e.g., a public education program that educates residents who may be at risk of becoming victims of discrimination about their rights and responsibilities); c) modeling the value of a diverse city work force (e.g., develop a comprehensive plan to recruit and retain a diverse workforce to benefit from a full range of backgrounds, viewpoints and approaches); d) collaborate with community groups to promote diversity and combat discrimination (e.g., work with businesses, community organizations, and others to implement the goals and practices of the Office of Diversity); and e) generate resources necessary to implement the strategic plan (e.g., identify available federal, state, and private grants and prepare proposals to fund the diversity program).</p>	\$305,000.00	Zamora
PARD	Hispanic/Latino Leadership Program at the ESB-MACC	<p>The Leadership Program, housed at the Emma S. Barrientos Mexican American Cultural Center, will provide leadership training to 15 high school junior and senior interns the first and third Saturday of every month, between 9 and 3. The program will incorporate academic, community-enhancing, and internship/employment components. It will include cultural competency classes on national and local aspects of Hispanic/Latino History directed by graduate students in Mexican American Studies at the University of Texas. The program will also allow the interns to engage community leaders, also in classroom settings. Lastly, the interns will be referred for after-school employment to non-profit organizations, community-based organizations, faith-based organizations and other youth programs. They will be involved in activities that develops positive work habits while working in an environment with adult supervisions and support. The Leadership Program will require 1 FTE position (\$78,560), a Program Coordinator, who will be responsible for planning and supervising the program. This will involve an advisory committee composed of representatives of participating institutions, including Austin ISD, community organizations, and non-profit organizations. The first summer of the project (2015) will involve planning activities that will include the selection of the students and participating institutions, as well as the preparation of funding proposals that can allow for the growing the number of students. During the school year, the Coordinator will supervise and counsel the students, taking care that they complete their homework in a timely and effective manner. The students will be paid \$8/hour for 15 hours/week during a 48/week period, for a total of \$86,400. Arrangements will be made with the school district to give the student reduced school hours to accommodate their work between 2 and 5pm. A budget of \$3,600 (\$300 x 12 months) to cover office, travel, and programmatic expenditures will also be required.</p>	\$168,560.00	Zamora

CPIO	The Hispanic/Latino Data Resource Center	The Resource Center would house and make available public data by city departments on the status of Hispanic/Latino communities in Austin, provide technical assistance in the use of the data, and contribute to Hispanic/Latino quality of life through periodic reports and research on relevant topics and issues. The Resource Center would include general electronic data that the city's departments (e.g., housing, transportation, education) generates on Hispanic/Latino communities. The Resource Center will maintain a web page that will allow citizens and city officials to browse or search by keywords and topics to retrieve a single set of data or interactive data in the form of tables and graphs. These data will allow users to select, view, compare, and download data results for their districts and neighborhoods. The Resource Center staff would utilize current City resources, including demographic data sources, and publications and video production capabilities, as well as relevant Census, Austin ISD, and Travis County data to assemble and make available a useful and interactive data set. The Resource Center would also generate its own data with the use of surveys and other research instruments, and make available focused reports and video productions to City Council members, community organizations/program, and the general public. The Resource Center will require 1 FTE, at \$78,560, for a person to assist the City demographer in establishing the data set and its delivery system, to assist users in utilizing the data, and periodically produce reports and videos on demand by City Council members or in response to requests from the public. Regarding funding, city staff will have to conduct an assessment of current resources to determine the cost of expanding some them and initiating new ones. For instance, the city's demographer could assume the added duty of supervising the work, all department staff are already generating useful data that would have to be converted into standard formats, and departments like Communications and Public Information already have capabilities in video production and web development that could be made available to the Resource Center. The office of the city demographer, on the other hand, would require funding for new program activities.	\$78,560.00	Zamora
City Council	The Advisory Commission to the Joint Committee of the City of Austin, the AISD Board of Trustees and the Travis County Commissioners Court	The Commission would advise the Joint Committee of the City of Austin, the AISD Board of Trustees and the Travis County Commissioners Court. The Joint Committee has the important responsibility of supporting our school system to better serve the city's school-age youth, however, its work is conducted with little citizen input. The 11-member Advisory Commission would be appointed by the Council members and the City's mayor. Its responsibility would be to advise the Council on how to best support the Austin ISD. The Commission additionally recommends that 1 FTE be assigned to the Human Resources Development Office as a Program Coordinator to work as a liaison between both entities and to assume program development and resource (funding) development responsibilities assigned by the Advisory Commission with ultimate approval to be made by the Joint Committee.	\$78,560.00	Zamora
CPIO/CMO	Annual Latino/Hispanic Quality of Life Conference	An annual one-day public meeting that would meet the unmet need of providing the public a comprehensive assessment of the Latino/Hispanic quality of life in Austin, Texas. Representatives of city department offices (e.g., Parks and Recreation, Economic Development, Transportation) and members of the Latino/Hispanic Quality of Life Commission would report on the status of pressing issues affecting the Hispanic/Latino communities and ongoing and planned attempts to address them. We have a critical need to underscore the City of Austin's support for improving the Hispanic/Latino quality of life and to affirm its commitment to the Hispanic/Latino Quality of Life Commission and its mandate. There are no substitutes for this kind of trust-making transparency and civic engagement in public affairs.	\$73,445.00	Zamora

Finance	Tax Relief through Tax Exemptions	There are numerous ways to design a property tax exemption, but the design of the policy should reflect its goal: to protect homeowners from the unaffordable property tax bills while still allowing local governments to raise adequate revenue. There is the concept of a tax circuit breaker. A property tax circuit breaker would protect homeowners from a property tax bill that is too high relative to their household income. With such a policy, tax credits would partially offset taxes for homeonwers with large tax bills ralative to income. Many states - use circuit breaker programs to address tax inequity. The following are characteristics of a circuit breaker that would meet the needs of Austin: 1) the tax credit would kick in when a household's property taxes are greater than a certain share of income (5% for example); 2) the maximum tax credit should not be capped at a level that is too low to provide meaningful tax reductions; 3) the tax credit should be available to moderate as well as low-income households and should be available broadly, not just to the elderly or persons with disabilities; 4) the credit should be available to renters as well as owners. In reviewing property tax exemptions, tax breakers should be considered.	N/A	Renteria
Economic Development	Hispanic/Latino Economic Development Corporation (EDC)	The EDC would implement an Applied Entrepreneurship Program with the responsibility of managing a venture capital fund to start new high growth or technology businesses, and a low-interest debt fund to enable Hispanic/Latino non-profits, cooperatives or small businesses to start or expand. Economic Development should provide technical assistance in providing a feasibility study on forming a community economic development corporation. EDD will work with the H/LQL to establish goals, projects, streams of capital from the public and private sector, development and management considerations. Established consultants from other successful community economic development corporations should be consulted. The end result of the feasibility study should determine: (1) Key attributes: what it takes to be successful; (2) evaluation of what makes sense; (3) understanding the development steps; (4) operations/managment understanding; and (5) financing resources.	\$175,000.00	Rodriguez, Zamora
City Council	Living Wage Working Group	The COA should form a minimum wage working group composed of City representatives and a broad group of stakeholders (labor, business, small business and others). The task force's primary goal is to create a plan to implement short and long term pay increases for minimum wage workers and those employees whose salaries rely primarily on tips. The diverse group of labor, business and civic leaders will run an inclusive process to determine the right increase to the minimum wage that ensures every Austinite earns a living that provides an opportunity to the middle class.	\$350,000.00	Rodriguez
Finance	MACC improvements	The MACC property is located within the boundaries of the Waller Creek Tax Increment Financing (TIF) Zone Number 17. However, the current financing plan and associated revenue projections for the TIF produce only enough funding to meet the required costs of the Waller Creek Tunnel. There is no excess funding available for other needs. In addition, the TIF was established, and supported accordingly by Travis County, to fund only the Waller Creek Tunnel. If there was excess funding available, an amendment to the project and financing plan for the TIF would be required. Such an amendment must meet the requirements and limitations of applicable State Law and follow various procedural requirements. Growth in expected future values should be reviewed to determine if there are opportunities for the COA to consider improvements to the MACC as a part of the TIF Zone Number 17. Additionally, other financing mechanisms should be explored to complete the MACC building program and enhance the MACC's sustainability.	Assigned Staff	Rodriguez
Finance	Serie Project	The Serie Project is one of the longest and most successful Latino art projects. A feasibility study is proposed to determine how to sustain the project upon the death of its founder. One idea is to expand the project and incorporate a program to mentor at---risk youth in screen printing art, digital art, and entrepreneurial activities to market the student artwork. The target areas are the 78741 and 78744 zip codes that contain the highest level of youth delinquency.	\$25,000.00	Rodriguez

HHSD	Latino Chronic Care Initiative	Hispanic/Latino health is often shaped by factors such as language/cultural barriers, lack of access to preventive care, and the lack of health insurance. Some of the leading causes of illness and death among Hispanics, which include heart disease, cancer, unintentional injuries (accidents), stroke, and diabetes. Some other health conditions and risk factors that significantly affect Hispanics are: asthma, chronic obstructive pulmonary disease, HIV/AIDS, obesity, suicide, and liver disease. A Latino Chronic Care initiative is proposed to be created to be located in the HHSD similar to the African American chronic care program currently residing in the HHSD. Start up funding in the amount of \$1,500,000 is proposed in the first year. Funding will also assist community based health promotion activities for preventive care.	\$1,500,000.00	Rodriguez
City Council	Enrollment of City's uninsured	The next enrollment round of the Affordable Care Act's Insurance Marketplace starts November 15, 2014 through February 15, 2015. The Federal government did not fund any navigators to assist consumers through outreach, education, and enrollment in the last insurance enrollment round. The City of Austin and Travis County also did not fund any navigators to assist the uninsured in enrolling in affordable insurance. Funding of \$1,000,000 will fund a modest effort to provide outreach, education, and enrollment services targeted to the City's uninsured at 100% to 250% of the Federal Poverty Level.	\$500,000.00	Rodriguez
City Council	Medical School Community Impact Task Force	A medical school and teaching hospital could mean nearly 15,000 new jobs and about \$2 billion annually in economic activity for the Austin area. In addition to potentially better access to health care for Central Texas residents the City of Austin should consider that these "anchor" institutions adopt the mission of improving the well being of their surrounding community. The "med" and "ed" institutons should engage with the community in multi-faceted ways. Included in this task force should be the re-use of the Central Health's Brackenridge Hospital campus.The can hire staff, procure goods and services, partner with local organizations, collect and disseminate important research findinds and share an array of resources. Initiatives to be considered include: A task force should be formed composed of the Medical School, Teaching Hospital, and community stakeholders to develop ways for the community to derive specific benefits in specific areas. Initiatives should be considered that include: local purchasing, real estate development to build places and stimulate economic revitalization, support for community development and build local wealth through developing local business capacity, recognize the role of public education in creating a healthy community, allocation of endowment dollars and operating funds to community development, hiring local residents through targeted recruitment and job training programs. The task force's work should be funded through the City, County, UT, Seton, and Central Health.	To be determined	Rodriguez
HHSD	Rundberg Health Issues	The Rundberg area in North Central Austin is composed of one of the largest Latino enclaves in the City. The area is being known as the "next East Austin." Historically clinical medicine and public health have been detached from one another. This model overlooks issues such as social, safety, and other socio-economic conditions. Studies indicate that behavior and environmental factors account for 70 percent of health outcomes. A Community Health and Wellness Center (CHWC) could be developed the in Rundberg area. A CHWC could provide clinical, mental, and behavioral health services and community wrap-around services. The Rundberg community believes that health disparities must be addressed for vulnerable population issues through improved access. A feasibility study should be funded using the social and economic determinants of health. The Rundberg community need to define their healthcare commons, the collective resources that can treat disease and promote health, and to develop community based strategies. These can include healthy food environments, housing, livable jobs, parks and so forth. The feasibility study should be funded through the City, County, and Central Health.	\$75,000.00	Rodriguez
City Council	Funding for Buyouts	The H/L QL Advisory Commision has endorsed the Council resolution to seek funding for the Halloween flood buyouts in addition to the 25 year flood plain flood plain victims. If bond funding secured through the drainage fund fees is deemed unfeasible and there is no other viable source, then the Commission recommends that the amount needed to for flood buyouts be placed on a November 2014 bond ballot.	To be determined	Rodriguez
Total Amount of Recommendations			\$6,846,135.88	



**TO:** Mayor and City Council

**FROM:** Frank Rodriguez, Chair,  
Hispanic/Latino Quality of Life Advisory Commission

**DATE:** August 18, 2014

**SUBJECT:** Priority Recommendations for FY 2014-2015 Budget

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Attached for your review are priority recommendations to include in this upcoming budget. These recommendations have been discussed and approved by the Hispanic/Latino Quality of Life Commission.

In the attached, you will note the following:

- There are 36 recommendations that have been derived from the Hispanic/Latino Quality of Life report or are other recommendations made by the Commission that are outside of that report;
- The recommendations have a fiscal impact of at least \$6,846,135. There are some recommendations that would need input from City staff as to what the potential fiscal impact would be in order to implement;
- These recommendations impact each of the seven specific topic areas that were laid out in the HLQL report.

We thank the City Council for granting the individuals on this Commission to serve and hope the Council can adopt and implement these budget recommendations.

Should there be any questions, please contact me at your earliest convenience.

Cc: Hispanic/Latino Quality of Life Commission Members  
Marc A. Ott, City Manager  
Bert Lumbreras, Assistant City Manager  
Ed Van Eenoo, Deputy Chief Financial Officer  
Ray Baray, Assistant to the City Manager



Department	HQL COT Recommendation (with corresponding page # in HQL Report)	Description of Staff Recommendation/Commissioner Support for Recommendation	FY15 Funding Needed	Commissioner Priority
City Council	Partly Principle	The Party Principle is a guiding standard of equality that the City Council and the city staff should consistently and explicitly apply to insure fair ethnic, gender, and socio-economic representation in programs designed and implemented to serve the general population. The City Council should commit the city to adopt and implement an over-arching principle of parity to encourage public trust in local government. This meets the critical need of insuring equity as well as in encouraging trust in the democratic process and local government officials. Enunciating a parity principle and instructing the city staff to abide by it cannot be replicated in any other way. Also, it does not require an expenditure of funds.	N/A	Zamora
APL (AHC)	(Pg. 52) Provide sufficient funding for staff and programs focusing on Austin Hispanic/Latino historical significance.	Currently, there is 0.5 FTE doing Mexican-American programming and outreach. Additional funding would cover the program supplies, speaker fees, and facilities rentals needed to increase the number of programs focusing on Mexican American history in Austin.	\$41,500.00	Zamora
APL (AHC)	(Pg. 52) Provide sufficient funding for staff and programs focusing on Austin Hispanic/Latino historical significance.	Currently, there is 0.5 FTE doing Mexican-American programming and outreach. An additional 0.5 FTE is needed to increase capacity in this area. Personnel costs for half-time Program Coordinator to manage the programming efforts of the Mexican American Community Archivist including marketing materials and supplies and also to expand work that includes the transcribing of over 75 (1.5-3hours) tapes of sound recordings, the processing of other archival records, and the preparation of narrative histories of Hispanic/Latino communities in Austin based on these interviews and archival records that have been collected in the last five years. The additional costs should have been anticipated given the necessary work of converting recorded interviews into transcripts and in interpreting the research to produce historical materials for the public. Investing in collecting archival and oral history records is commendable but this is a limited and ultimately counter-productive if the materials are not transferred into narrative form to share with the public electronically and in the traditional print form. The transcribed interviews, processed records, and narrative products will also enhance the public programming as well as a new interest by Austin ISD and curriculum specialists from the University of Texas in developing curriculum for elementary grades on local Hispanic/Latino history.	\$40,000.00	Zamora, Cotera
HHSD	(Pg. 80) Develop comprehensive prenatal health policy.	The implementation of this activity requires research, collaboration with multiple health entities, and stakeholder meetings to ensure comprehensive policy development. HHSD would require the specialized expertise of a consultant that would lead policy development and serve as the liaison between HHSD and the HQL initiative.	\$50,000.00	Padilla
HHSD	(Pg.29) The City needs to collaborate with local ISDs to develop strategies and programs aimed at reducing the number of homeless youth and those suffering from student mobility each year.	HHSD is a member of the Joint City County AISD student mobility taskforce focusing on housing stability for youth and their families. The Taskforce will be making recommendations to the Joint Subcommittee in the Fall 2013.  It is anticipated that additional services resulting from the recommendations would be phased in over two years. The first year would focus on assessment of need, program framework and program development activities and require \$93,552 for 1 HHS Program Coordinator to facilitate assessment and development of additional recommendations. In the 2nd year, we would implement recommendations and request funding to provide a competitive process to provide both case management services and coordination at targeted schools (contract amount \$250,000) and provide funding through a competitive process for an entity to work with homeless youth throughout the community (contract amount \$100,000).	\$93,522.00	Padilla
HHSD	(Pg. 80) Fund and implement a Prenatal through Pre-Kindergarten continuum program to allow for consistent education delivery to children most in need.	To implement this recommendation, HHSD would need an additional \$500,000 to increase Early Education contract funding to provide more child care slots. In addition, an HHS Program Coordinator would be needed to manage the contracts and assist in developing and coordinating collaborative community strategies.	\$593,235.00	Cotera, Padilla

HR	(Pg. 84) Conduct extensive training with City staff regarding cultural competence.	HRD has been conducting Citywide cultural competence training to 1,150 employees/year (one class/week for 48 weeks, 24 participants/class); currently an existing 0.50 FTE is dedicated to this effort. With an additional FTE, up to 3,450 employees could be trained per year offering the class 3 times per week.	\$108,870.00	Zamora - expand to include college students
HR	(Pg. 30) The creation of a Citywide Youth Employment/Internship Office would provide outreach for employment opportunities.	Beginning in FY13, the Youth/Family Outreach Program Manager dedicates approximately 1/8 (13%) of their time to the summer youth employment program. For FY15, a new part-time (25%) HR Specialist would be needed to maintain and expand youth employment and internship opportunities on an year round basis.	\$19,640.00	Padilla, Zamora - expand to include college students
HR	(Pg. 30) Provide adequate funding to establish paid internships in various City departments throughout the year.	HRD recommends adding funding to hire approximately 20 total students throughout the fall, spring and summer. The students would work approximately 20 hours a week at \$11.00/per hour for a total cost of \$79,575. In addition, a new part-time (25%) HR Specialist would be needed to manage and coordinate Citywide youth internship efforts.	\$96,952.88	Padilla, Zamora - expand to include college students
HR	(Pg. 30) Look into possibly including into contracts with non-profits summer jobs/paid internship placement for youth and target low-income youth for employment and internship opportunities that pay a living wage.	In FY13, one-time grant funding was used for a summer internship program targeting disadvantaged youth initiated. To have this program in FY15, an additional \$16,800 will be needed to pay the summer interns. We recommend adding a new part-time (25%) HR Specialist to manage and coordinate this new effort.	\$34,178.00	Padilla, Zamora - expand to include college students
HR	(Pg. 65) In the past 15 years, the Hispanic/Latino community has lost senior staff members and is not participating in employment opportunities in rank and file employment with the City. We recommend a professional internship program with the City of Austin to recruit recent high school, community college and university Hispanic/Latino graduates for employment with the City.	To enhance services and establish a new professional internship program and develop current employees, HRD would need one new HR Specialist. One half of the FTE will focus on recruiting approximately 10 Hispanic undergraduate and graduate interns in the areas of engineering, technology and general public administration. Interns will be recruited from local area colleges and universities. The other half of the FTE would focus on developing emerging Hispanic leaders within the organization by recruiting employees into the existing Management and Executive Academies.	\$123,536.00	Martinez-Moncada
HR (Youth and Family Services)	(Pg. 29) Encourage coordination and facilitation of Community-Based Leadership that would support both Youth Leadership Programs and Restorative Circles.	HRD would need a new part-time (50%) HR Consultant to work with community partners and organizations that work with youth.	\$45,446.00	Padilla
NHCD	(Pg. 42) Make City of Austin surplus public property available to non-profit housing groups to build affordable housing.	We support the recommendation to ensure surplus property be made available to non-profits through the City's affordable housing arm, the Austin Housing Finance Corporation (AHFC). AHFC could own land and could make it available to developers of affordable housing. Typically, AHFC will retain ownership of the land and use a 99-year ground lease to the developer or the owner/operator of the development. The AHFC ground lease puts all responsibility on the owner/operator of the affordable housing.	\$0.00	Renteria
NHCD	(Pg. 42) Preserve Existing Affordable Units throughout city but particularly in East Austin by creating an employee giving program to support such efforts, to fund research around this topic that is useful and actionable, supporting community-based efforts to address this challenge, identifying policy changes that can provide long term relief to low-income homeowners.	This is done through the City of Austin's Combined Charities Program. The need for funding affordable housing repairs for both owners and renters is limited and restricted by federal income and eligibility criteria so that many Hispanics are not able to access City programs that preserve existing affordable housing. The City is unable to provide individuals tax relief. Low-income Hispanics in East Austin, especially seniors and disabled renters are unable to repair their homes due to lack of disposable income to make repairs, lack of credit, and it's just easier to sell off existing affordable homes than to find financial assistance. The City should look to set up a program (or coordinate with the existing program in place) where funds that are donated by City employees to organization that preserve affordable housing (through the current gift giving program) are matched by the City.	\$500,000.00	Renteria

PARD	(Pg. 27) Create and/or enhance youth art, music, writing, theatre, dance and performing classes at recreation centers and look into offering music production and business workshops as means for youth development. The current enrichment component of the Recreation Center After School programs includes an arts component. This program could be expanded to be offered as a stand-alone class and offered in low-income areas.	PARD currently provides an arts component at Summer camps and after school events programming (History arts and Nature Division, HAND), including in low income areas.  An additional \$182,544 would provide PARD with the ability to offer a youth concert every month. Funding would cover a Recreation Program instructor, security cost services, sound and lighting production services and funding for talent services.  Another \$371,813 would provide PARD with the ability to conduct a Counselor in Training program to give teens job-readiness and marketable job skills. The program design consists of three tiers that participants will transition through including paid summer employment. The program will have core components, however will also include specialty tracks based on participant interest: outdoors, arts, sports and music.  To address this recommendation, PARD would like to add one computer lab with five new computers. A Network Systems Administrator is needed to handle all of the maintenance of the software and hardware of the labs. The computer lab would also require a Recreation Programs instructor who would be responsible for all of the instructional classes in the lab including lesson plan development and actual instruction. Programs should teach STEM and financial literacy.	\$554,357.00	Cotera
PARD	(Pg. 27) Expand the number of computer labs at recreation centers and offer more classes like the Connected Youth program at the Austin Public Library that teach basic skills that can help youth secure gainful employment. The City will begin the Roving Leaders program, which will include a portable computer lab that will serve the areas with the highest need. If the program proves to be successful, the City should expand of the program to impact more children.	Network Systems Administrator is needed to handle all of the maintenance of the software and hardware of the labs. The computer lab would also require a Recreation Programs instructor who would be responsible for all of the instructional classes in the lab including lesson plan development and actual instruction. Programs should teach STEM and financial literacy.	\$181,375.00	Martinez-Moncada, Padilla
PARD	(Pg. 28) Work to incorporate more co-ed sports (such as volleyball, kickball, etc.) into current program offerings and implement more organized activities for Hispanic females.	PARD currently provides sports and recreation programming across the city, including low income areas.  To address this recommendation, PARD would like to create a health and fitness program to target the young Hispanic female ages 10-14 years with a focus on health and nutrition education and recreational (physical movement) experiences. The outcomes expected are improved fitness and increased knowledge and awareness of healthy foods and nutrition. Activities will include shopping for and preparing healthy foods, and participation in a variety of physical movements such as yoga, Zumba, outdoor trail walking, hiking, etc.  This health and fitness program will require 12 new FTEs. Each of the three recreation center districts will have a Program Coordinators and 3 temporary Activity Specialists III. The program planning and coordination will be performed by the Recreation Program Specialists and the program implementation will be conducted by the Recreation Program Specialists with the assistance of the Activity Specialists as the Local Standards of Care for Parks and Recreation Youth Programs mandate a staff to youth participants ratio.	\$390,701.00	Padilla
PARD	(Pg. 51) Service agreements with Latino Arts cultural arts organizations should be instituted. Art organizations would provide cultural arts services in exchange for facility usage and rentals.	Currently, the City runs the Latino Artist and Residency Program through the MACC. Four groups were recently selected to start their programs in the summer. The City contracts with Mexic-Arte to utilize their space for Totally Cool Totally Art's youth art show 1 time each year. Additional funding would allow the City to expand both of those programs.	\$283,698.00	Cotera
PDRD	(Pg. 52) The City of Austin should designate and officially name the 5th St. Mexican American Heritage Corridor through signage and promotion on official City information sites. Fund a Master Plan for the 5th Street Mexican American Heritage Corridor to provide a vision that would enhance the history of the Mexican Americans in downtown Austin. Include 5th Street in the Great Streets Program in next bond election.	Council action would be required to designate and officially name 5th Street as the Mexican American Heritage Corridor. Regarding the Great Street Program, 5th Street west of I-35 is included in the Great Streets Master Plan (plan area boundaries are E MLK, Cesar Chavez, Lamar, and I-35). Typical costs for street reconstruction and Great Streets streetscape improvements are approximately \$1M per block. Total project costs would depend on the scope developed in the planning and conceptual development. \$375,000 at a minimum is needed to begin the master plan process.	\$375,000.00	Martinez-Moncada, Cotera
PDRD	(Pg. 89) Imagine Austin should address neighborhood disparities. There are no sidewalks between Springdale and Boim Road. There a bridge that goes over the railroad track. There a sidewalk on the bridge itself but other than that, there is nothing.	This facility is currently maintained by TxDOT, and an engineering-level cost estimate has not yet been developed. The City should move forward and ask TxDOT regarding the possible construction of sidewalks in front of their property.	\$0.00	Del Rio
PDRD/Real Estate	(Pg. 50) Protect the architectural integrity and view of the MACC by ensuring future development compliments the facility's integrity.	This is could be performed with existing PDR staff. The zoning and/or overlay would be processed through PDRD as a zoning case. Real Estate services would require an additional \$5,000 for overtime for an existing OKES employee to assist with the cost of land appraisals and consultant services.	\$5,000.00	Cotera

PARD	Revision to the ESBMACC Master Plan given the recent development of the area			Cotera
City Manager	City of Austin Diversity Office	<p>The Commission recommends that the City establish an Office of Diversity to address human rights and equity issues in an increasingly diverse population. The Office of Diversity should convene a committee of representatives from the world of business, labor, non-profits, and ethnic community organizations in a collaborative effort to develop a strategic plan that establishes mission and vision statements with short-range and long-range goals and objectives. Although the committee will give final definition to the Office of Diversity, it should be able to propose to the City Council policy recommendations to insure equity and fairness in all matters related to city governance and to publicly advocate tolerance and respect without regard to religion, race, color, national origin, age, disability, sexual orientation, gender, and socio-economic status. In short, the Office of Diversity should support, protect, and ensure basic human rights for all Austin residents. Our diverse community is expanding and the City of Austin has the responsibility to serve as a source of advocacy and recourse among its residents who deserve to be treated equally in the eyes of the law and by their fellow Austinites.</p> <p>Possible goals could include: a) promoting legal rights for all residents (e.g., a nondiscrimination ordinance in housing, realty, employment, public accommodation, and city activities); b) advancing an appreciation for diversity (e.g., a public education program that educates residents who may be at risk of becoming victims of discrimination about their rights and responsibilities); c) modeling the value of a diverse city work force (e.g., develop a comprehensive plan to recruit and retain a diverse workforce to benefit from a full range of backgrounds, viewpoints and approaches); d) collaborate with community groups to promote diversity and combat discrimination (e.g., work with businesses, community organizations, and others to implement the goals and practices of the Office of Diversity); and e) generate resources necessary to implement the strategic plan (e.g., identify available federal, state, and private grants and prepare proposals to fund the diversity program).</p>	N/A	Zamora
PARD	Hispanic/Latino Leadership Program at the ESB-MACC	<p>The Leadership Program, housed at the Emma S. Barrientos Mexican American Cultural Center, will provide leadership training to 15 high school junior and senior interns the first and third Saturday of every month, between 9 and 3. The program will incorporate academic, community-enhancing, and internship/employment components. It will include cultural competency classes on national and local aspects of Hispanic/Latino History directed by graduate students in Mexican American Studies at the University of Texas. The program will also allow the interns to engage community leaders, also in classroom settings. Lastly, the interns will be referred for after-school employment to non-profit organizations, community-based organizations, faith-based organizations and other youth programs. They will be involved in activities that develops positive work habits while working in an environment with adult supervisors and support. The Leadership Program will require 1 FTE position (\$78,560), a Program Coordinator, who will be responsible for planning and supervising the program. This will involve an advisory committee composed of representatives of participating institutions, including Austin ISD, community organizations, and non-profit organizations. The first summer of the project (2015) will involve planning activities that will include the selection of the students and participating institutions, as well as the preparation of funding proposals that can allow for the growing the number of students. During the school year, the Coordinator will supervise and counsel the students, taking care that they complete their homework in a timely and effective manner. The students will be paid \$8/hour for 15 hours/week during a 48week period, for a total of \$96,400. Arrangements will be made with the school district to give the student reduced school hours to accommodate their work between 2 and 5pm. A budget of \$3,600 (\$300 x 12 months) to cover office, travel, and programmatic expenditures will also be required.</p>	\$168,560.00	Zamora

CPIO	The Hispanic/Latino Data Resource Center	<p>The Resource Center would house and make available public data by city departments on the status of Hispanic/Latino communities in Austin, provide technical assistance in the use of the data, and contribute to Hispanic/Latino quality of life through periodic reports and research on relevant topics and issues. The Resource Center would include general electronic data that the city's departments (e.g., housing, transportation, education) generates on Hispanic/Latino communities. The Resource Center will maintain a web page that will allow citizens and city officials to browse or search by keywords and topics to retrieve a single set of data or interactive data in the form of tables and graphs. These data will allow users to select, view, compare, and download data results for their districts and neighborhoods. The Resource Center staff would utilize current City resources, including demographic data sources, and publications and video production capabilities, as well as relevant Census, Austin ISD, and Travis County data to assemble and make available a useful and interactive data set. The Resource Center would also generate its own data with the use of surveys and other research instruments, and make available focused reports and video productions to City Council members, community organizations/program, and the general public. The Resource Center will require 1 FTE, at \$78,560, for a person to assist the City demographer in establishing the data set and its delivery system, to assist users in utilizing the data, and periodically produce reports and videos on demand by City Council members or in response to requests from the public. Regarding funding, city staff will have to conduct an assessment of current resources to determine the cost of expanding some them and initiating new ones. For instance, the city's demographer could assume the added duty of supervising the work, all department staff are already generating useful data that would have to be converted into standard formats, and departments like Communications and Public Information already have capabilities in video production and web development that could be made available to the Resource Center. The office of the city demographer, on the other hand, would require funding for new program activities.</p> <p>\$78,560.00</p>	Zamora
City Council	The Advisory Commission to the Joint Committee of the City of Austin, the AISD Board of Trustees and the Travis County Commissioners Court	<p>The Commission would advise the Joint Committee of the City of Austin, the AISD Board of Trustees and the Travis County Commissioners Court. The Joint Committee has the important responsibility of supporting our school system to better serve the city's school-age youth, however, its work is conducted with little citizen input. The 11-member Advisory Commission would be appointed by the Council members and the City's mayor. Its responsibility would be to advise the Council on how to best support the Austin ISD. The Commission additionally recommends that 1 FTE be assigned to the Human Resources Development Office as a Program Coordinator to work as a liaison between both entities and to assume program development and resource (funding) development responsibilities assigned by the Advisory Commission with ultimate approval to be made by the Joint Committee.</p> <p>\$78,560.00</p>	Zamora
CPIO/CMO	Annual Latino/Hispanic Quality of Life Conference	<p>An annual one-day public meeting that would meet the unmet need of providing the public a comprehensive assessment of the Latino/Hispanic quality of life in Austin, Texas. Representatives of city department offices (e.g., Parks and Recreation, Economic Development, Transportation) and members of the Latino/Hispanic Quality of Life Commission would report on the status of pressing issues affecting the Hispanic/Latino communities and ongoing and planned attempts to address them. We have a critical need to underscore the City of Austin's support for improving the Hispanic/Latino quality of life and to affirm its commitment to the Hispanic/Latino Quality of Life Commission and its mandate. There are no substitutes for this kind of trust-making transparency and civic engagement in public affairs.</p> <p>\$73,445.00</p>	Zamora



Finance	Tax Relief through Tax Exemptions	<p>There are numerous ways to design a property tax exemption, but the design of the policy should reflect its goal: to protect homeowners from the unaffordable property tax bills while still allowing local governments to raise adequate revenue. There is the concept of a tax circuit breaker. A property tax circuit breaker would protect homeowners from a property tax bill that is too high relative to their household income. With such a policy, tax credits would partially offset taxes for homeowners with large tax bills relative to income. Many states - use circuit breaker programs to address tax inequity. The following are characteristics of a circuit breaker that would meet the needs of Austin: 1) the tax credit would kick in when a household's property taxes are greater than a certain share of income (5% for example); 2) the maximum tax credit should not be capped at a level that is too low to provide meaningful tax reductions; 3) the tax credit should be available to moderate as well as low-income households and should be available broadly, not just to the elderly or persons with disabilities; 4) the credit should be available to renters as well as owners. In reviewing property tax exemptions, tax breakers should be considered.</p>	N/A	Renteria
Economic Development	Hispanic/Latino Economic Development Corporation (EDC)	<p>The EDC would implement an Applied Entrepreneurship Program with the responsibility of managing a venture capital fund to start new high growth or technology businesses, and a low-interest debt fund to enable Hispanic/Latino non-profits, cooperatives or small businesses to start or expand. Economic Development should provide technical assistance in providing a feasibility study on forming a community economic development corporation. EDD will work with the HLOL to establish goals, projects, streams of capital from the public and private sector, development and management considerations. Established consultants from other successful community economic development corporations should be consulted. The end result of the feasibility study should determine: (1) Key attributes; what it takes to be successful; (2) evaluation of what makes sense; (3) understanding the development steps; (4) operations/management understanding; and (5) financing resources.</p>	\$175,000.00	Rodriguez, Zamora
City Council	Living Wage Working Group	<p>The COA should form a minimum wage working group composed of City representatives and a broad group of stakeholders (labor, business, small business and others). The task force's primary goal is to create a plan to implement short and long term pay increases for minimum wage workers and those employees whose salaries rely primarily on tips. The diverse group of labor, business and civic leaders will run an inclusive process to determine the right increase to the minimum wage that ensures every Austinite earns a living that provides an opportunity to the middle class.</p>	\$350,000.00	Rodriguez
Finance	MACC improvements	<p>The MACC property is located within the boundaries of the Waller Creek Tax Increment Financing (TIF) Zone Number 17. However, the current financing plan and associated revenue projections for the TIF produce only enough funding to meet the required costs of the Waller Creek Tunnel. There is no excess funding available for other needs. In addition, the TIF was established, and supported accordingly by Travis County, to fund only the Waller Creek Tunnel. If there was excess funding available, an amendment to the project and financing plan for the TIF would be required. Such an amendment must meet the requirements and limitations of applicable State Law and follow various procedural requirements. Growth in expected future values should be reviewed to determine if there are opportunities for the COA to consider improvements to the MACC as a part of the TIF Zone Number 17. Additionally, other financing mechanisms should be explored to complete the MACC building program and enhance the MACC's sustainability.</p>	Assigned Staff	Rodriguez
Finance	Serie Project	<p>The Serie Project is one of the longest and most successful Latino art projects. A feasibility study is proposed to determine how to sustain the project upon the death of its founder. One idea is to expand the project and incorporate a program to mentor at-risk youth in screen printing art, digital art, and entrepreneurial activities to market the student artwork. The target areas are the 78741 and 78744 zip codes that contain the highest level of youth delinquency.</p>	\$25,000.00	Rodriguez

HHSD	Latino Chronic Care Initiative	Hispanic/Latino health is often shaped by factors such as language/cultural barriers, lack of access to preventive care, and the lack of health insurance. Some of the leading causes of illness and death among Hispanics, which include heart disease, cancer, unintentional injuries (accidents), stroke, and diabetes. Some other health conditions and risk factors that significantly affect Hispanics are: asthma, chronic obstructive pulmonary disease, HIV/AIDS, obesity, suicide, and liver disease. A Latino Chronic Care initiative is proposed to be created to be located in the HHSD similar to the African American chronic care program currently residing in the HHSD. Start up funding in the amount of \$1,500,000 is proposed in the first year. Funding will also assist community based health promotion activities for preventive care.	\$1,500,000.00	Rodriguez
City Council	Enrollment of City's uninsured	The next enrollment round of the Affordable Care Act's Insurance Marketplace starts November 15, 2014 through February 15, 2015. The Federal government did not fund any navigators to assist consumers through outreach, education, and enrollment in the last insurance enrollment round. The City of Austin and Travis County also did not fund any navigators to assist the uninsured in enrolling in affordable insurance. Funding of \$1,000,000 will fund a modest effort to provide outreach, education, and enrollment services targeted to the City's uninsured at 100% to 250% of the Federal Poverty Level.	\$500,000.00	Rodriguez
City Council	Medical School Community Impact Task Force	A medical school and teaching hospital could mean nearly 15,000 new jobs and about \$2 billion annually in economic activity for the Austin area. In addition to potentially better access to health care for Central Texas residents the City of Austin should consider that these "anchor" institutions adopt the mission of improving the well being of their surrounding community. The "need" and "yet" institutions should engage with the community in multi-faceted ways. Included in this task force should be the re-use of the Central Health's Blackenridge Hospital campus. The can hire staff, procure goods and services, partner with local organizations, collect and disseminate important research findings and share an array of resources. Initiatives to be considered include: A task force should be formed composed of the Medical School, Teaching Hospital, and community stakeholders to develop ways for the community to derive specific benefits in specific areas. Initiatives should be considered that include: local purchasing, real estate development to build places and stimulate economic revitalization, support for community development and build local wealth through developing local business capacity, recognize the role of public education in creating a healthy community, allocation of endowment dollars and operating funds to community development, hiring local residents through targeted recruitment and job training programs. The task force's work should be funded through the City, County, UT, Seton, and Central Health.	To be determined	Rodriguez
HHSD	Rundberg Health Issues	The Rundberg area in North Central Austin is composed of one of the largest Latino enclaves in the City. The area is being known as the "next East Austin." Historically clinical medicine and public health have been detached from one another. This model overlooks issues such as social, safety, and other socio-economic conditions. Studies indicate that behavior and environmental factors account for 70 percent of health outcomes. A Community Health and Wellness Center (CHWC) could be developed the in Rundberg area. A CHWC could provide clinical, mental, and behavioral health services and community wrap-around services. The Rundberg community believes that health disparities must be addressed for vulnerable population issues through improved access. A feasibility study should be funded using the social and economic determinants of health. The Rundberg community need to define their healthcare commons, the collective resources that can treat disease and promote health, and to develop community based strategies. These can include healthy food environments, housing, livable jobs, parks and so forth. The feasibility study should be funded through the City, County, and Central Health.	\$75,000.00	Rodriguez
City Council	Funding for Buyouts	The H/L OL Advisory Commission has endorsed the Council resolution to seek funding for the Halloween flood buyouts in addition to the 25 year flood plain flood plain victims. If bond funding secured through the drainage fund fees is deemed unfeasible and there is no other viable source, then the Commission recommends that the amount needed to for flood buyouts be placed on a November 2014 bond ballot.	To be determined	Rodriguez

Total Amount of Recommendations	\$6,846,135.88
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## City Council Budget Adoption Transcript

09/08/2014 (recessed) and 09/09/2014

Title: ATXN2

Channel: 6 - ATXN

Recorded On: 9/8/2014 6:00:00 AM

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[03:39:32]

>> Mayor Leffingwell: Good morning. I'm austin mayor lee leffingwell. A quorum is present so I'll call this austin city council budget meeting to order at 9:40 a.m. On SEPTEMBER 8th, 2014. We're meeting at the town lake center, 721 barton springs road, in the assembly room. A couple of notes before we get started. First of all, four of us have a campo meeting at 6:00, which I personally would like to plan to attend, so tentatively what I will plan is, with council approval, of course, is to go into recess no matter where we are at 5:00 p.m. The other thing is there will probably be an executive session on the bull creek matter. The bond counsel can't be here until after 1:00 p.m. So we'll plan on discussing that matter in order, it's item number 14. And likely, likely would not get to it at all today. Probably after we go into recess and come back tomorrow. Councilmember morrison.

>> Morrison: Thank you. Given one of the sponsors of the bull creek resolution will be gone after 1:00, I can't imagine in order we would get to it before 1:00 so I would like to suggest we do a time certain of tuesday at 9:30. Or I'm open to other suggestions, but

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>> Cole: Mayor?

>> Mayor Leffingwell: We can make that decision later.

>> Morrison: I guess I would like to get assurance that if we don't get it between 1:00 and 5:00 today with councilmember spelman off the dais.

>> Mayor Leffingwell: If that's okay with council, we will not take it up between 1:00 and 5:00 today. Councilmember martinez.

>> Martinez: Is there any appetite for allowing the citizens to speak today that have shown up or are we going to ask them to come back tomorrow?

[03:41:39]

>> Morrison: I think they would come back tomorrow, but I'd be happy to hear them today.

>> Martinez: I'm open to that. But if they are willing to come back tomorrow.



>> If you took it away in that and if that was able to meet the allowable expenditures, yes?

>> Spelman: Okay. Thanks.

>> Mayor Leffingwell: Councilmember morrison.

>> Morrison: We got into a bit after question last week when I was asking about actually some of our funds

-- some of our hotel occupancy tax funds apportioned go to acvb and it's defined in the ordinance what percent that is. Is it 5.5%? I can't remember what. Then they go off and do all the great tourism work that they do. But one of the things that I had asked and we got answer understand a question, during the meeting was how did that work. And the question was did we have approval

-- are we required to approve their budget. Could you comment on that?

[04:51:31]

>> Yes. Under the statute the city has the authority to delegate the portion of the hotel occupancy tax that is used to attract tourists to another entity. We do that through the acvb and through the statute the council does approve the acvb budget.

>> Morrison: I throw that out there because we've always gotten the budget and I didn't realize it was for anything more than information purposes. And so I think knowing that the budget is for-- it requires out approval it gives us an opportunity, as we always had before, but it gives us another opportunity to talk about the programs that they're running for tourism and whether some of the things we see as tourism, but not cultural arts, might fit into their program. That as I understand it will be coming to us for approval on september 25th. So I appreciate the clarification. I think we all need to know that. And in fact, I know that I had raised it because in the previous conversations I had with the austin gay and lesbian chamber, they had suggested some of the work that they were interested in doing was really promoting tourism so we had gotten them in touch with acvb. And as I understand it, they did touch base, but things were never pursued. So frankly, I plan on spending a little bit of time between now and the 25th working to see if there might be something to promote the agltc could promote in their program.

>> Mayor Leffingwell: Okay. Proposal by councilmember riley. I'll object. All in favor? Opposed say no? Passes on a vote six to one with myself voting no. Councilmember martinez.

[04:53:37]

>> Martinez: Thank you, mayor. This is under b-27. I think it's 1.44, the hispanic quality of life initiative. While I realize they've made a pretty substantial request in funding

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>> Mayor Leffingwell: Could you give us the number? 1.44?

>>

>> there's christmas extensive backup for this

-- extensive backup for this item on page 47 of tab b-27. Under b-27 there's a whole subset of items.

>> Martinez: Mayor and council, the hispanic quality of life initiative made some recommendations this year. They're somewhat all over the place as it relates to



-- not necessarily related to one another, it's a total of request of about \$6.8 million in funding this year, which obviously we know that's simply not possible under June circumstances. There are a couple of items that I think are of significant importance. And these two items would be on a one-time expenditures and not ongoing operations and maintenance. So I will move to add \$575,000 in one-time expenditures, which would go towards towards next round of enrollment in the affordable care act's insurance marketplace. That would be 500,000. And the 75,000 would go to a feasibility study for a health and wellness center in the Rundberg area as project restore Rundberg moves forward, there is a strong appetite for determining whether or not a health and wellness facility could be a part of that restore Rundberg project. And this 75,000 would be to conduct a feasibility study to further make that determination. It would be 575,000.

[04:55:57]

>> And none out of the general fund? Any comments. Councilmember Morrison some.

>> Morrison: Councilmember Martinez, I'm very supportive of the 500 to the outreach of the affordable care act because that's just an investment that will come back to us funds wise as well as health of the community. Can you help me understand the health and wellness feasibility? I apologize because I didn't really

-- I might have not studied this packet well enough. There is some central health presence up there. Do you know if they would plan to look at potentially partnering with them or any more detail on that?

>> It's a page 58, between pages 58 and 59. This is listed with some description of what it would actually be.

>> Martinez: So the description, under the description of this request, councilmember Morrison, is the Rundberg area in north central Austin is home to one of the largest Hispanic enclaves in the city. A community health and wellness center could provide community wraparound services. A feasibility study should be funded using the economic and detriments of health. All I have is the request that they forwarded us and what's provided in the backup. I thought it was worthy of consideration.

>> Morrison: Absolutely. I notice at the end I do see that page now. At the end they say so the total is 75. They say the feasibility study should be funded through the city, county and central health. And I probably it's too early to know if we've had a chance to go talk to them.

>> Martinez: I would doubt it. I would think that they have probably forwarded the exact same request to each entity. So we wouldn't know the full impact it could be only 25,000.

[04:58:03]

>> It well, certainly I'll support that. And obviously if in fact central health and the county have ponied up the money, we'll be able to recoup that.

>> Martinez: We could lower the property tax rate with \$50,000.

>> Morrison: That would be great.

>> Spelman: Mayor.

>> Mayor Leffingwell: First of all, I'll object. Councilmember Spelman.

>> Spelman: I have the same concerns as councilmember Morrison, by having an additional concern that



works the other way. I understand what a feasibility study would entail. I have a sense for how it would be conducted because we've 60 conducted other such feasibility studies in the past. I am uncertain as to what it is the city would be doing to improve enrollment in aca and would like a little more information tuesday how that half a million dollars would likely be spent and what kind of results we could reasonably expect to get from that.

>> Sure. My understanding is that adding funding to it simply adds additional enrollees and [speaking in spanish] to go out into the community, engage in the community, build trust and get folks to sign up through the marketplace. It is just in addition to what already is going to be invested in our area. And would add to our ability to get more folks on health care rolls.

>> Spelman: Do we know how much is going to be invested in promoting aca and [indiscernible] for the next trend already?

>> Martinez: I don't have that, but I could try to get that. I'm looking through here. I think it says one million dollars is currently budgeted for this next round in the backup.

>> Spelman: Where in the backup can I find that.

>> That's under your b-27 1.44. It is going to be the

-- the hispanic quality of life recommendation listed in kind of like a motion sheet form, if you will?

[05:00:34]

>> There is currently no funding allocated for education outreach and enrollment. And that they are requesting a million dollars from city of austin and travis county.

>> Where are you looking, councilmember?

>> On that motion sheet that came with the hispanic quality of life?

>> What page?

>> Page 57. It's the last item on that page.

>> Martinez: Page 27 at the very bottom.

>> [Indiscernible].

>> That's it.

>> Spelman: So there's a lot here to look at. If I could, let me take a quick look at it.

>> As you will see the targeted population is 100 to 250 percent of the federal poverty level. It's very targeted to the most needy in our community.

>> So the federal government hasn't funded any navigators in the last round or did not fund any for the -- is that the next round? I didn't understand. The round coming up we have no federal funding. We have no city or travis county funding. Do we have a sense for

-- this would be funding navigators in an ongoing program or navigators in the last program. There would be no navigators if we did not fund them in the next round. Do we have a sense for how much effect or how many people would be enrolled with navigators as opposed to without? And why -- how do we pick half a million dollars as being the right number and that being the right number of navigators to fund?

>> I think it's just a request that was made. I don't have that information, but obviously zero dollars gets you zero. And so they're just asking for some investment?

>> Zero gets you whatever you get with people having to navigate themselves, which will be very, very

small. I understand having somebody there will be a lot better than nobody. I just want to get a sense for half a million dollars is how many navigators for how long a period and what can we reasonably expect to get? Is there a way, mayor, of having an answer to that question? I believe it's a very good expenditure. We need to fund something, but I'm not sure about the exact amount.

[05:02:49]

>> Mayor Leffingwell: One thing we can do, councilmember, is if you want to withdraw and submit another request on your term that would be time to research that.

>> Martinez: I'm afraid by that time I would be out of money.

>> Spelman: I would not urge councilmember martinez to do that myself.

>> It may I ask mr. Lumbreras to see what he can find out for us.

>> Mayor Leffingwell: Do you want to go into recess until we get an answer? Until t without objection we're in recess.

[05:20:05]

>> Mayor Leffingwell: Okay. We're out of recess. I think if somebody could advise councilmembers who may be out in the foyer. That we're going back to this now.

>> Martinez: Mayor, the break, hopefully councilmember spelman was able to gain some insight to this.

At the break I made a couple of phone calls. One of them to walter morrow at community foundation who did a large chunk of the enrollment last year they have currently 400,000 from central health committed. They have 200,000 it from st. Davids and they have 250 to 400,000 in national grant decisions pending and then a request from seton that's also pending for an uncertain amount. So they currently have \$600,000 available. His estimation is right now their goal is to enroll 5,000 people in their current fund. He believes that if we add \$300,000 to that that he would adjust his goal from 5,000 to between 7 and # 8,000. It's hard to quantify because if you just do 300,000 you have to ramp up and train. If you add to to an existing program such as his, it's robust, in place. He it could have an even bigger impact. I would to amend my motion to add \$300,000 for the next phase of enrollment in the affordability.

>> Spelman: Thank you for doing all that background work, councilmember martinez. Now that I have a better sense for how that money would be used and exact amount used, I very much more comfortable with it.

>> Martinez: And I appreciate your questions, councilmember.

>> Mayor Leffingwell: Just to clarify, it's now \$300,000 instead of 3,055,000?

[05:22:07]

>> Martinez: Instead of 500,000.

>> Mayor Leffingwell: I was referring back to the original number. So your proposal is \$300,000 for the hispanic latino quality of life advisory commission for the purposes you've outlined.

>> Spelman: Mayor, I believe it was 300,000 for the aca enrollment ask from the hispanic quality of life



initiative and another 75,000 for the feasibility study of the wellness center at rundberg.

>> Mayor Leffingwell: That's why I'm trying to clarify. I'm trying to find out what is your proposal. I'm only interested in the numbers.

>> Martinez: 375,000, mayor. One time expenditure. All right. Is there any objection

--

>> Mayor Leffingwell: Is there any objection to that? I'll object. So we'll call for a vote. Those in favor say aye. Opposed say no. That passes six to one with myself voting no. And before we go to the next

-- before we go councilmember tovo, I had a request from councilmember morrison to perhaps reconsider and advise her earlier approved proposal.

>> Morrison: Thank you, mayor. I made the motion for one million dollars for social service programs, which was approved. And I actually just conveyed some inaccurate information in response to mayor pro tem cole. So I just wanted to clarify, do I need to call to reconsider?

>> Mayor Leffingwell: Doesn't sound like it so far.

>> Morrison: I will clarify.

>> Mayor Leffingwell: The numbers don't change, right?

>> Morrison: They don't change. This new social service contract that will be executed in response to the rfa will not go into place, they will not start until october 1, 2015. So that means that we can fold-- it's ongoing funds. We will followed a million dollars into our decisions about the new ones, but we also have a million dollars based on my motion for this year. And so we have a million dollars that will be needed to be allocated separately from that. And I think I indicated otherwise previously. So I would like to suggest certainly with input from everybody that we plan on looking at using this year's million dollars to look at what some transitional funding

-- we might need to be looking at or where gaps have been identified, but definitely to probably work with staff, probably work through public health and human services and then bring it to the full council still within the con sex of what we'll be going with the

-- context of what we'll be going with the following year.

[05:24:59]

>> Mayor Leffingwell: Since it sounds like it's for a different purpose really, instead of the five percent across the board addition, maybe you would be on the safe side just to reconsider the same amount and say it will be used for transition money for these agencies.

>> Morrison: I guess it will be

-- I'd like to say it will be used based on recommendations from public health and discussions with the full council, potentially for transition funding. I just wanted to leave it as open as possible. So this million dollars, but it's ongoing so we will be able to add a million dollars to the pot of money we will be allocating with the rfa. So I'm happy to make the motion to reconsider and

--

>> Mayor Leffingwell: Why don't we do that real quickly. So councilmember morrison moves to reconsider her motion for one million dollars for additional social service contracting with whatever words you want to add.

>> Morrison: With the clarification that it is ongoing. We will look at the rfes that will start with

## **Restore Rundberg Community Meeting**

Location: GAMA-8801 Research Blvd, Suite 100

Date: May 22, 2014

Start: 1900 (7:00pm)

End: 2030 (8:30pm)

### **Attendees Present:**

Erica Saenz (Place 6) - Chairman  
Roberto Perez Jr. (Place 14) – Co Chair  
Margaret Valenti (Place 1)  
Linda Krueger (Place 2)  
Julia Foree (Place 3)-Designee  
Brian Almon (Place 4)  
Ann Teich (Place 5)  
Robert Martinez (Place 7)  
Patricia Zavala (Place 8)  
Michael Willard (Place 10)

Donald Baker (Place 11)  
Mary Jo Hernandez (Place 13)  
Laura Pressley (Place 13) – Designee  
Allen McClure (Lieutenant – APD)  
Adam Soliz (Officer – APD)  
Taber White (Officer – APD)  
Frank Wilson (Officer – APD)  
Rafael Kianes (Officer-APD)  
Michelle Menchaca (APD) – Recording Secretary

### **Meeting called to order at 7:07pm**

#### **Old Business:**

1. **Campaign Activity Announcement-** City Legal advised no campaigning or political materials from members or any individuals in the community during the meetings.
2. **Grant Positions Updates–** Briefings on the open positions for the Restore Rundberg Community Engagement Specialist and the Restore Rundberg Community Engagement Liaison openings.
  - a. *The positions have been reposted and extended until 5/31 for the Engagement Specialist position and 6/03 for the Engagement Liaison position.*
  - b. *Both openings are posted on Base Camp, the City of Austin Website and sent to UT and ACC to obtain an interest in a wider base of applicants. Please forward to interested individuals.*
3. **Development and Sustainability Workgroup Updates-**None current at this time.

#### **4. Priority 1-4 Updates**

a. *Priority 1 Revitalization of 4 Key Properties-*

Initiatives engaging in community clean-ups and working with displaced homeless as a result of revitalizing the areas have been carried throughout properties.

b. *Priority 2 Development of Hybrid Community Center and Healthcare Clinic-*

There have been meetings with different organizations in the healthcare network to create a better establishment of care and a pursuit for a needs assessment of healthcare in the area. Not all providers retain the same data and some have different divisions for service areas throughout Austin. For example Rundberg is in 3 different divisions for Central Health. There are clinics that do collect data for utilization of services but it doesn't indicate needs. Frank Rodriguez with the Latino Healthcare Forum has conducted a needs assessment for the Doves Springs area and is willing to assist with the Restore Rundberg assessment. There will be collaborations to establish what resources are needed to help him in this project. Other information concludes; a healthcare clinic near the N Lamar Transit Station would be a good place due to transportation. Meetings with Seton led to their awareness of people without documentation are not receiving care with Central Health. In addition, the clinic at Braker/Parkfield is underutilized due to bus location.

c. *Priority 3 After School Programs for Those 10 yrs. and Older-*

The focus has been looking at what summer programs are available and providing that information to parents. The idea proposed is to create 14 binders and give them to apartment complexes in the area so the tenants can see which program would benefit their child. There is a continuation of working with churches and faith based after school programs for the youth's enrichment in the summer. Priority 3 is also looking at programs that empowers the youth to be leaders. Michael De La Fuente and the Hispanic Austin Leadership hosted a "CEO for a Day" for youth from the Rundberg area middle schools.

d. *Priority 4 Accountability for Housing and Property Code Violations-*

A Public Information Request was sent for the top 12 offending properties in the Rundberg area. Over 100 emails were received only 3 properties were in the information received, Middle Fiskville, E Rundberg and Grouse Meadow. The majority of cases were closed issues but a few were open for 2013. Another PIR is to be sent to Code Compliance asking for information for follow up of those properties. Complaints seen are rodent/pests, leaks, ceiling repairs, and nonfunctioning air conditioners and heaters. The goal of Priority 4 is to work with Code Compliance to resolve the issues with repeat offenders and ensure there are accountable for their properties.

#### **5. Other Workgroups Updates-**

a. Erica Saenz is the Chair for Cultural Competence Diversity and Inclusion Workgroup. The workgroup's agenda is focusing on linguistics services city wide.

b. There are education initiatives hosted at City Hall for people running for public office to learn the needs of their community.



## **New Business:**

6. **Revitalization Team Priorities Update and Public Comment-** Introduction of Priority 5 Homeless Intervention and Prostitution Diversion lead by Michael Willard.  
There is continued work in the concept of the CARE Team (Comprehensive Approach Restorative Enforcement) presently working on the initiative.
7. **Priority 3: Presentation: Junior Youth Spiritual Empowerment Program by the U.S Baha'i Community presented by Maggie Hartman-** The educational program originates from Columbia and is a process of learning about community. It develops children's classes, junior youth groups and study circles. The programs help the youth develop expression, address complex family situations and develop community service plans.
8. **Juvenile Justice Programming, RFP and Scope of Work** –Dr. Springer is working on shaping the RFP with Kryan Fitzgerald. A targeted and universal intervention program is being assessed for middle school youth in the Rundberg area.
9. **The Austin Community Tree Program-** will assess every property in the NACA neighborhood for plant-able space to plant a tree. Volunteers are needed.
  - a. *Contact Information:* Margaret Valenti, Planning & Development Review Dept.  
PH: 512-974-2648 Email: [margaret.valenti@austintexas.gov](mailto:margaret.valenti@austintexas.gov)
  - b. *The first event Training Day* is Saturday, September 27<sup>th</sup> 8am – 2pm  
Settlement Home for Children-Williamson Campus 1607 Colony Creek Drive
  - c. *The second event Training Day* is Saturday, November 8<sup>th</sup> 8am – 2pm  
Settlement Home for Children-Williamson Campus 1607 Colony Creek Drive
  - d. *Tree Staging and Planting Day* Friday, November 14<sup>th</sup> 8am-2pm Location is TBA
  - e. *Tree Staging and Planting Day* Saturday, November 15<sup>th</sup> 8am-2pm  
Location is TBA
10. **Brownfields Area- Wide Planning presented by Christine Whitney-** The program is to identify blighted or underutilized properties for revitalization in the community. It assists in obtaining other grants, community involvement, research planning and implementation strategies for cleanup and reuse.
  - a. *Contact information:* Christine Whitney, Austin Brownfields Revitalization Office  
PH: 512-974-6085 Email: [Christine.whitney@austintexas.gov](mailto:Christine.whitney@austintexas.gov)

## **Next Meetings-** All welcomed to join.

- a. Next Revitalization Team Meeting 7:00p.m. Thursday, June 12th at GAMA, 8801 Research Blvd, Suite 100
- b. Next Community Meeting 7:00p.m. Thursday, June 26th Holy Word Lutheran Church, 10601 Bluff Bend Dr

**Meeting adjourned: 8:24PM**

## Restore Rundberg Team Meeting

Location: GAMA-8801 Research Blvd, Suite 100

Date: July 10, 2014

Start: 11:00am

End: 12:30pm

### Attendees Present:

Erica Saenz (Place 6) - Chairman  
Roberto Perez Jr. (Place 14) - Co Chair  
Margaret Valenti (Place 1)  
Linda Krueger-Powers (Place 2)  
Don Shepard (Place 3)  
Brian Almon (Place 4)  
Ann Teich (Place 5)

Kara Sheehan (Place 8) - Designee  
Rick Randall (Place 10)  
Cmdr. Donald Baker (Place 11)  
Cary Roberts (Place 12)  
Mary Jo Hernandez (Place 13)  
June Lujan (APD) – Recording Secretary  
16 Community Members

### Meeting called to order at 7:00pm

#### Old Business:

1. **Approval of Minutes** – Minutes passed with no corrections
2. **Team Retreat** – Discussion was held on a proposed date for a day long RR Team retreat to work on projects which need more time than allowed for during regular meetings. It was decided the retreat will be held on August 2<sup>nd</sup>.
3. **Priority 1-5 Updates**
  - a. *Priority 1: Revitalization of 4 Key Properties* -  
Cmdr. Baker gave a brief update on the meeting he held with the principal of IDEA School. IDEA does not own the building Showplace Lanes but the property directly behind. They will partner with the community to help with quality of life issues in the area.
  - b. *Priority 2: Development of Hybrid Community Center and Healthcare Clinic* -  
Mary Jo Hernandez gave a report on the current status of the healthcare project. See attached.
  - c. *Priority 3: After School Programs for Those 10 yrs. and Older* -  
A representative from Freedom Schools gave a presentation of their summer program currently being performed in East Austin. The program is a reading and

general education workshop for approximately 50 children endeavoring to keep them engaged in learning throughout the summer vacation. Erica Saenz and Roberto Perez would like to expand the program to the Rundberg Area in 2015.

d. *Priority 4: Accountability for Housing and Property Code Violations* - No Updates

e. *Priority 5: Homeless Intervention and Prostitution Diversion* -

Rick Randall updated the training for the ECHO project to count the homeless individual in the Rundberg area. If anyone is interested in volunteering, training will be held on July 18<sup>th</sup> and 21<sup>st</sup>. The count will be conducted on July 23<sup>rd</sup>.

#### **New Business:**

4. **Discussion of moving the team meetings to evening only** – It was decided due to time constraints this item would be discussed at the team retreat.
5. **Frank Rodriguez, Latino Healthcare Forum** - presented a proposal to conduct a needs assessment, data review, and stakeholder engagement program to address the Healthcare disparities of the greater Rundberg Area. They would like to mirror the work done in the Dove Springs area.
6. **REACH (Racial and Ethnic Approaches to Community Health) Grant** - presentation of a proposed grant that addresses opportunities to engage in active & healthy transportation options through education and program development. Given by Pamela Larson, City of Austin Planning and Development Review Dept and Adrian M. Lipscombe, Austin Transportation Dept.
7. **Hart Elementary Bike Initiative** – Due to time constraints, this item was tabled until the next Team meeting.

**Next Meetings** - All are welcomed to join.

- Revitalization Team Meeting - August 14<sup>th</sup>, 7:00 – 8:30pm, GAMA, 8801 Research Blvd, Suite 100
- Community Meeting August 28<sup>th</sup>, 7:00 – 8:30 pm, Guerro-Thompson Elementary School 102 E. Rundberg Lane

**Meeting adjourned**

## Restore Rundberg Team Meeting-August 14th

Location: GAMA 8801 Research Blvd, Suite 100

Date: August 14, 2014

Start: 1910 (7:10 pm)

End: 2040 (8:40pm)

### Attendees Present:

Erica Saenz (Place 6)-Chairman  
Roberto Perez Jr. (Place 14) – Co Chair  
Laura Pressley (Place 2)-Designee  
Dazzie McKelvy (Place 2)-Designee  
Don Shephard (Place 3)  
Gabriel Rojas (Place 4) - Designee  
Ann Teich (Place 5)  
Patricia Zavala (Place 8)  
Michael Willard (Place 10)  
Cmdr. Donald Baker (Place 11)  
Cary Roberts (Place 12)

Mary Jo Hernandez (Place 13)  
Keith Bazzle (APD)-Sgt  
Allen McClure (APD)-LT  
Adam Soliz (APD) -Officer  
Kyran Fitzgerald (APD) Planner  
Nelson Andrade (APD)- Community  
Engagement Coordinator  
April Gutierrez (APD)-Community Engagement  
Administrative Support  
Michelle Menchaca (APD) – Recording Secretary

### Meeting called to order at 7:10pm

**Public Comments** - None stated.

### Old Business:

1. **Approval of Minutes** - Meeting Minutes approved from the Community Meeting.
2. **Grant Positions HR Update** - The candidates for the Community Engagement Coordinator and the Engagement Administrative Support have been selected. We welcome Nelson Andrade and April Gutierrez to the team.
  - a. *Community Engagement Coordinator, Nelson Andrade duties include:*
    - Conduct and coordinate a variety of leadership, public safety and social services outreach or community development activities, by engaging residents in activities and efforts, which will improve quality of life, safety, and neighborhood appearance.
    - Plan, develop and implement youth programs in cooperation with project partners to help facilitate community involvement.
    - Facilitate public dialogues and consensus building to identify and resolve issues.

- Assist in organizing and leveraging community support and resources for the Restore Rundberg Marketplace, apartment/landlord coalitions, and other Byrne Criminal Justice Innovation public safety initiatives.
- b. *Community Engagement Administrative Support, April Gutierrez duties include:*
  - Answer calls and respond to voice mail and email messages.
  - Maintain project supply inventories.
  - Schedule and coordinate meetings
  - Track and manage asset and resource lists for “hot spot” areas.
  - Develop social maps of informal leaders and their linkages in “hot spot” areas as a means to improve community efficacy/social capital.
  - Act as a liaison for code compliance/nuisance abatement issues within the three identified hot spot areas and the greater Byrne Criminal Justice Innovation target area.

### 3. **Priority 1-4 Updates**

- a. *Priority 1 Revitalization of 4 Key Properties* - There is a possibility of a development of park in the Sam Rayburn area approved by City Council.
- b. *Priority 2 Development of Hybrid Community Center and Healthcare Clinic* - Frank Rodriguez of the Latino Healthcare Forum is moving forward with a healthcare needs assessment in the Rundberg area. Paperwork was submitted to the City of Austin for a grant of \$11,000 for the project. There was also a presentation to City Council for the focus of improving the quality of healthcare for the Latino Community. The assessment will cost \$78,000.
- c. *Priority 3 After School Programs for Those 10 yrs and Older* - Organizing funding for the 2015 summer youth programs is in process. The curriculum from the Freedom Schools is in review for implementation for the Rundberg Youth Programs.
- d. *Priority 4 Accountability for Housing and Property Code Violations* - All rental properties that have received numerous health and safety complaints within 12 consecutive months are required to register with the City of Austin Repeat Offender Program by City Council resolution (Ordinance No. 20130926-012). This ordinance requires inspections and other guidelines for rental properties falling under the "2-5-2" conditions.  
"2-5-2" CONDITIONS: A rental registration is required for multi-family and single-family rental properties (not occupied by the owner) if they have received the following within 12 consecutive months at the same property:
  - Two or more separate notices of violation for conditions that are dangerous or impair habitability, and were not corrected within the time required.
  - Five or more separate notices of violation for conditions that are dangerous or impair habitability issued on separate days regardless of whether the violation was corrected or not.



- Two or more citations for conditions that are dangerous or impair habitability within 12 consecutive months.

After review of the received public information requests from Code Compliance the properties of 9601 Middle Fiskville and 9204 North Plaza has met the violation criteria. A meeting is scheduled for August 20<sup>th</sup> with APD and Code Compliance to discuss the registration for the Repeat Offender Program.

See the city website: <http://www.austintexas.gov/department/repeat-offender-program> for the complete ordinance.

*e. Priority 5 Homeless Intervention and Prostitution Diversion -*

An eviction notice was executed to the transients inhabiting the property of 606 Barwood from the property owner. The C.A.R.E Team has gone to that location to provide information and assistance to the inhabitants. Several of the occupants refused shelter options for relocate to the Salvation Army or the Arch which makes assistance for placement difficult and limiting.

**New Business:**

4. **DR. Susan Schorn Presentation on Preventing Domestic Violence** - Due to time constraints the presentation is rescheduled for September.
5. **RRRT August 2<sup>nd</sup> Retreat Follow-up, Purpose, Values and Covenant** – The proposed covenant has been received and will be posted on Base Camp for review. It will be announced at another team meeting for formal approval. The covenant follows the values of diversity, engagement, transparency, collaboration, and respect.
6. **Team Discussion of Where We Are and Where We Go From Here** – The Rundberg Revitalization Team was initiated by the grant to be an advisory community board to APD. The hope is the team will become a sustainable group that will remain beyond the activity of the grant.
7. **Discuss RRRT Policies and Procedures: Document and Consider Proposition to Have Committee Review** - A subcommittee will be formed to review and update the policy and procedures for clarification. Subcommittee nominees are Erica Saenz, Anne Teitz, Patricia Zavala, Margaret Valenti, Nelson Andrade, and April Gutierrez.
8. **Update Descriptions and/or Titles of Priorities 1-5** - An update of priority titles and descriptions are as follows:
  - a. *Priority 1 Revitalization of 4 Key Properties* - Title and description to remain the same.
  - b. *Priority 2 Development of Hybrid Community Center and Healthcare Clinic* - Title to change To Facilitate and Improve Accessible Quality of Healthcare- Physical, Mental and Substance Abuse.
  - c. *Priority 3 After School Programs for Those 10 yrs and Older* - Title and description to remain the same.

- d. *Priority 4 Accountability for Housing and Property Code Violations* - Title changed to Code Compliance Accountability.
- e. *Priority 5 Homeless Intervention and Prostitution Diversion* -Title changed to Homeless and Prostitution Intervention.

**9. Consider Addition of New Affordable Housing Priority –**

- a. There was a motion to add a 6<sup>th</sup> priority; To Define, Maintain, Improve and Expand Affordable Housing in the Rundberg Area. The new priority explores the brackets of incomes and barriers for affordable housing in the area. There was discussion for a meeting in September to outreach to Dr. Liz Mueller of the University of Texas and Mandy De Mayo from Housing Works for their experience and ideas toward reform.
- b. *The additions for the 6th priority lead to an introduction of a 7<sup>th</sup> priority* that addresses economic and workforce development. That priority is titled; Identify Scalable Economic Development and Workforce Opportunities in Coordination with Private and Public Sector Stakeholders. Further discussion and objectives of this title will be discussed in the next meetings.

**Next Meetings** - All welcomed to join.

- Next Community Meeting
  - 7-8:30pm, Aug 28<sup>th</sup> at Guerrero Thompson Elementary; 102 E. Rundberg
- Next Revitalization Team Meeting
  - 11am, Sept 11<sup>th</sup> at GAMA; 8801 Research Blvd; Suite 100

**Meeting adjourned: 8:40PM**

## **Restore Rundberg Community Meeting**

The Settlement Home  
1607 B Colony Creek Drive  
January 22, 2015  
7-8:30 pm

### **Call to Order: 7:08 pm**

#### **In Attendance:**

Team Members & Designees:

Brian Almon  
Aida Cerda-Prazak  
David Contreras  
Monica Guzman  
Dr. Mary Jo Hernandez  
Roberto Perez  
Gabe Rojas (designee for Ann Teich)  
Erica Saenz  
Margaret Valenti  
Dr. Laura Pressley  
Rolando Delgado

APD: Baker, McClure, Andrade, Bazzle, Ortiz, White, Wilson, UT (Yuma)

40 public attendees

Next Thursday City Hall Proclamation about Restore Rundberg 6 pm – all invited (Shelby Alexander, Communications Director from Greg Casar's Office)

#### **New Business:**

##### *Priority 1 Update –*

Revitalization of Key Properties team is working in conjunction with the Longhorn Center for Community Engagement to prepare for The Project, UT's Largest Day of Service, which will be moving into the Rundberg area in 2016 and 2017.

##### *Priority 2 Update –*

Dr. Hernandez introduced incoming representative for Place 2, Aida Cerda-Prazak, a community health worker; and a representative from the Latino Healthcare Forum, Frank Rodriguez.

The Latino Health Care Forum is a 501(c)3. The team doing the health initiative study includes health planners, social workers, community health workers, and financial planners; all team members have been trained in cultural competency and most are bilingual. The project is formally approved by the City of Austin following a delay in funding. The budget for the assessment is \$95,000 and is funded by the City of Austin (\$75,000) and the St. David's Foundation (\$20,000). An estimated \$50,000 is being provided in kind by the Latino Health Care Forum. There are no allowances for overhead.

Mr. Rodriguez provided a presentation titled "Rundberg Health and Wellness Initiative Update" on the assessment and introduced two of his colleagues. The presentation will be posted on both the Latino HC

Forum website and the Restore Rundberg site. The project is attempting to take a holistic approach by assessing the social determinants of health, as laid out in 10 domains (e.g., availability of quality medical care, community safety and security, socioeconomic status). The focus is on identifying health needs and resources through a needs assessment and identifying gaps in service. The scope of work includes 7 tasks with identifiable deliverables. Community leaders are interviewed to assess their perceptions of needs to gather qualitative data. The Initiative wants to be inclusive of all members and groups in the community and encourages participation from all. Updates from the Initiative will be provided through social media and a website. Data from clinics and hospitals serving patients in the 78753 and 78758 zip codes is currently being cleaned for further analysis. To date 34 community leaders have been surveyed. A number of focus groups are scheduled for selected consumers of the local health system.

*Priority 3 Update – no update*

*Priority 4 Update – Code Compliance*

Dr. Laura Pressley gave a presentation on the Code Compliance Committee's progress. She gave an overview of the code compliance and safety-related issues in the area's multifamily housing units. The team has been focused on Hotspot 1, around the IH-35 and Rundberg intersection. The team has been using the Repeat Offender Program passed by City Council last year to work toward

The team compiled the documents on code compliance issues, putting the information into a spreadsheet so that the repeat offenses could be identified. The Mira Vista apartment complex and the Middle Fiskville Condominiums had several violations, putting them on the repeat offender list. The team is monitoring a few other properties. The Mira Vista apartment complex manager is meeting with Dr. Pressley and Linda Powers next week.

Dr. Pressley invited additional volunteers to join the code compliance team. She is also supportive of the city obtaining an automated way to track these complaints so that the Repeat Offender Process can be enforced.

*All other priority updates tabled by the chair until next team meeting in the interest of time.*

## **New Business**

### **1. Approval of Minutes.**

Roberto Perez moved approve the December 11, 2014 and January 8, 2015 meeting minutes. Brian Almon seconded the motion. Gabe Rojas abstained from the vote. The motion carried all other votes.

### **2. Presentation: Digital Inclusion**

Presentation by Kirby Aull ([kirby.aull@austintexas.gov](mailto:kirby.aull@austintexas.gov)) with the City of Austin Digital Inclusion Initiative and Mike Bass ([REDACTED]) with Austin Free-Net. The presentation included an overview of the need for all community members to have digital access and an accounting of computer resources throughout the community.

### **3. Presentation: A Tale of Two Austins**

Julia Spann and Angela Atwood highlighted issues around income inequality, segregation, health and affordable housing in a rapidly growing Austin. One Voice recently worked with the City of Austin to calculate an index for the growing population and poverty that can inform resource allocations.

M. Valenti commented about an upcoming Senior Transportation workshop at the IBC Bank at Pleasant Valley and Cesar Chavez.

J. Foree asked about resources for directing individuals to resources in addition to 211. The presenters agreed that there remains a gap in services.

L. Pressley asked how many affordable units are needed. The presenters did not know off hand. A recent study by Housing Works recommended 48,000 units.

**Public Comment**

Randy Teich announced that ESL language classes for adults begin Jan 26<sup>th</sup> at Lanier High School. On Mondays and Wednesdays classes are 11-12:30. Tuesdays and Thursdays, classes are 6-7:15 pm. Childcare will be available. No registration is needed, and please check in at the front office.

Andrea Cenote from the Women's Community Center announced an upcoming Women's Empowerment Conference on March 7<sup>th</sup> and 8<sup>th</sup> at ACC Eastview.

January 31, 9am to noon there will be a Makerspace Mania family literacy event at Lanier High School and all members of the community are invited. All children may take home a free book as well as participate in activities to make bookmarks, books, and other literacy tools.

Commander Baker reminded volunteers about the Homeless Point in Time Count on Saturday, which is still recruiting volunteers. There are two trainings tomorrow afternoon and evening at St. Mark's Lutheran Church.

Meeting was adjourned by the Chair at 8:35 pm.

pjy



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**From:** Shemilina, Elena <IMCEAEX-\_O=ATX\_OU=EXCHANGE+20ADMINISTRATIVE+20GROUP+20+28FYDIBOHF23SPDLT+29\_CN=RECIPIENTS\_CN=ELENA+20SHEMILINA4B4@cityofaustin.onmicrosoft.com>  
**Sent:** Friday, July 11, 2014 8:01 AM  
**To:** Frank Rodriguez  
**Subject:** RE: Rescheduling with Frank

Good morning, Frank:

Unfortunately July 21 is no longer available. Will you consider July 23 or should we find an alternative date?

Thank you,

Elena



**Elena Shemilina | Executive Assistant**  
**Office of the Director**



**Phone: (512) 972-5010**  
**Cell: (512) 694-3053**  
**Fax: (512) 972-5016**

[Elena.Shemilina@austintexas.gov](mailto:Elena.Shemilina@austintexas.gov)

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**From:** Frank Rodriguez [mailto:████████████████████]  
**Sent:** Friday, July 11, 2014 4:44 AM  
**To:** Shemilina, Elena  
**Cc:** Murillo, Rosamaria; frank@latinohealthcareforum.org; Hayden, Stephanie; Rivera, Carlos; Kirscht, Estella; Hill, Natasha  
**Subject:** Re: Rescheduling with Frank

1 pm on July 21 is good for me. Meanwhile I'll send you some background information to consider at the meeting.  
 Thanks. FMR

Frank Rodriguez  
 P.O. Box 1271  
 Austin Texas 78767  
 512-585-7185

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On Jul 9, 2014, at 10:25 AM, "Shemilina, Elena" <[Elena.Shemilina@austintexas.gov](mailto:Elena.Shemilina@austintexas.gov)> wrote:

Frank:

Please see suggested dates below:

Monday, July 21, 1:00 – 2:00 pm;  
Wednesday, July 23, 11:00 am – 12:00 pm.

Let me know if either is suitable.

Regards,

Elena

<image001.png>

[Elena.Shemilina@austintexas.gov](mailto:Elena.Shemilina@austintexas.gov)

---

**From:** Murillo, Rosamaria

**Sent:** Tuesday, July 08, 2014 4:51 PM

**To:** [frank@latinohealthcareforum.org](mailto:frank@latinohealthcareforum.org); f [REDACTED]

**Cc:** Hayden, Stephanie; Rivera, Carlos; Kirscht, Estella; Shemilina, Elena; Hill, Natasha

**Subject:** Rescheduling with Frank

**Importance:** High

Hi Frank – sorry we could not meet last week. As agreed during our brief phone conversation, Elena (Carlos' Executive Assistant) will follow up with all of us to schedule another meeting within the next week or so. Thanks!

**Dr. Rosamaria Murillo**, Assistant Director  
Maternal, Child & Adolescent Health

---

**From:** Shemilina, Elena <IMCEAEX-\_O=ATX\_OU=EXCHANGE+20ADMINISTRATIVE+20GROUP+20+28FYDIBOHF23SPDLT+29\_CN=RECIPIENTS\_CN=ELENA+20SHEMILINA4B4@cityofaustin.onmicrosoft.com>  
**Sent:** Thursday, July 17, 2014 1:57 PM  
**To:** Frank Rodriguez  
**Subject:** RE: Rescheduling with Frank

He has an off-site meeting at 2:30 pm, so 1:30 is not going to allow him travel time. Is Thursday or Friday not convenient?



**Elena Shemilina | Executive Assistant**  
**Office of the Director**



**Phone:** (512) 972-5010  
**Cell:** (512) 694-3033  
**Fax:** (512) 972-5016

[Elena.Shemilina@austintexas.gov](mailto:Elena.Shemilina@austintexas.gov)

**From:** Frank Rodriguez [mailto: ]  
**Sent:** Thursday, July 17, 2014 1:53 PM  
**To:** Shemilina, Elena  
**Subject:** Re: Rescheduling with Frank

Any chance we could do it Monday at 1:30? I'm driving across town from a 11:30 pm lunch meeting. FMR

On Thu, Jul 17, 2014 at 1:50 PM, Shemilina, Elena <[Elena.Shemilina@austintexas.gov](mailto:Elena.Shemilina@austintexas.gov)> wrote:

Frank:

Thank you for letting me know. Here are some options for rescheduling:

July 21, 1-2 pm has opened up;

July 24 1-2 pm;

July 25 11 am – 12 pm.

Please let me know if any of these would work for you.



**From:** Hayden, Stephanie  
**To:** [Kingham, Robert](#)  
**Subject:** Re: Restore Rundberg  
**Date:** Wednesday, July 23, 2014 6:22:04 PM

---

I will discuss with Carlos; but I lean toward what the community needs in the assessment.  
I will keep you posted.  
Stephanie

----- Original message -----

From: "Kingham, Robert" <[Robert.Kingham@austintexas.gov](mailto:Robert.Kingham@austintexas.gov)>  
Date: 07/23/2014 5:58 PM (GMT-06:00)  
To: "Hayden, Stephanie" <[Stephanie.Hayden@austintexas.gov](mailto:Stephanie.Hayden@austintexas.gov)>  
Subject: Re: Restore Rundberg

Yes, you did tell me Carlos gave the go-ahead but I was unaware y'all were meeting with Frank. My question is: is the scope of what HHSD is going to fund being discussed with you, Carlos and Frank and should I wait for direction from you for contract deliverables?

Thanks,  
Robert Kingham

Sent from my iPhone

On Jul 23, 2014, at 5:53 PM, "Hayden, Stephanie" <[Stephanie.Hayden@austintexas.gov](mailto:Stephanie.Hayden@austintexas.gov)> wrote:

After meeting with Frank I discussed the 11 k with Carlos. He said yes; but I will double check and let you know tomorrow. I thought I mentioned that to you.  
Thanks  
Stephanie

----- Original message -----

From: "Kingham, Robert" <[Robert.Kingham@austintexas.gov](mailto:Robert.Kingham@austintexas.gov)>  
Date: 07/23/2014 5:03 PM (GMT-06:00)  
To: "Hayden, Stephanie" <[Stephanie.Hayden@austintexas.gov](mailto:Stephanie.Hayden@austintexas.gov)>  
Subject: Fwd: Restore Rundberg

Should I be coordinating this contract or should I wait for direction?

Thanks,  
Robert Kingham

Sent from my iPhone

Begin forwarded message:

**From:** mjlocker <[REDACTED]>  
**Date:** July 23, 2014 at 4:28:28 PM CDT  
**To:** "Kingham, Robert" <[Robert.Kingham@austintexas.gov](mailto:Robert.Kingham@austintexas.gov)>  
**Cc:** Ann and Randy Teich <[REDACTED]>  
**Subject:** Re: Restore Rundberg

Hi Robert,

I just got a note from Frank Rodriguez saying that he met with Stephanie, Carlos Rivera and others yesterday. HHSD agreed to the funding and they plan to meet and go forward with the project.

Perhaps you could talk with Stephanie and see if we can just let them handle things from this point on. I am excited!! Let us know what you all decide.

Thanks,  
Mary Jo

On Jul 23, 2014, at 11:26 AM, Kingham, Robert  
<[Robert.Kingham@austintexas.gov](mailto:Robert.Kingham@austintexas.gov)> wrote:

Mary Jo,

If you'd like Frank to be on the call, then that is okay with me.

Thanks,  
Robert

-----Original Message-----

**From:** mjlocker [REDACTED]  
**Sent:** Wednesday, July 23, 2014 9:04 AM  
**To:** Kingham, Robert  
**Cc:** Ann and Randy Teich  
**Subject:** Re: Restore Rundberg

Robert,  
Would you want to include Frank Rodriguez of Latino Healthcare Forum in the call?

Mary Jo

On Jul 23, 2014, at 8:40 AM, Kingham, Robert  
<[Robert.Kingham@austintexas.gov](mailto:Robert.Kingham@austintexas.gov)> wrote:



Thanks for your quick response Mary Jo. I can set up a conference call...when we nail down a date/time I'll send out the information for the call.

Thanks,  
Robert

-----Original Message-----

From: mjlocker [REDACTED]  
Sent: Wednesday, July 23, 2014 8:19 AM  
To: Kingham, Robert  
Cc: Ann and Randy Teich  
Subject: Re: Restore Rundberg

Hi Robert,  
Thanks so much for keeping in touch. Friday at 11:30 am would work for me. Ann, how about you? Robert, are you able to set up a conference call?

As far as later dates to meet with Stephanie, the only time I will be out of town is from Aug 7-12.

Mary Jo  
On Jul 23, 2014, at 8:07 AM, Kingham, Robert  
<[Robert.Kingham@austintexas.gov](mailto:Robert.Kingham@austintexas.gov)> wrote:

Good Morning Ann and Mary Jo,

I've spoken with Stephanie Hayden and she's given me the green light to allocate \$11K for the community needs assessment project. I'd like to chat with you briefly to understand the relationship with the Latino Healthcare Forum and your group and to discuss how we will move forward with a contract. Do you have some time this week for a 15 minute phone call? I'm available any time after 11a on Thursday and after 10:30a on Friday.

Also, Stephanie just got back from vacation so I'm working with her assistant to set up a meeting. I will send you some available dates/times later today for consideration.

Thanks,  
Robert

-----Original Message-----

From: [REDACTED]  
Sent: Wednesday, July 16, 2014 2:10 AM  
To: [REDACTED] Kingham,  
Robert  
Subject: Re: Restore Rundberg

Many thanks, Robert!

Ann

Original email:

-----  
From: mjlocker [REDACTED]  
Date: Tue, 15 Jul 2014 12:30:19 -0500  
To: [REDACTED] [Robert.Kingham@austintexas.gov](mailto:Robert.Kingham@austintexas.gov)  
Subject: Re: Restore Rundberg

Hi Robert.

I am sorry that we didn't have the opportunity to visit and discuss the Latino Healthcare Forum proposal. I am attaching a copy. The cost was estimated to be \$78,500. See attachment.  
Frank Rodriguez is beginning to seek funding sources immediately.

We look forward to meeting with you and your boss.

Thanks,  
Mary Jo Hernandez

On Jul 15, 2014, at 10:42 AM, Kingham, Robert  
<[Robert.Kingham@austintexas.gov](mailto:Robert.Kingham@austintexas.gov)> wrote:

Good morning Ann & Mary Jo,

Sorry I had to leave before the Latino Healthcare presentation re: the community needs assessment. I have a meeting later this week to discuss end-of-year funding initiatives with my boss...what kind of funding commitment are you looking to secure for the assessment?

I look forward to working with you both on this initiative.

Thanks,  
Robert Kingham

Sent from my iPhone

On Jul 11, 2014, at 9:17 AM, "Ann Teich"  
<[REDACTED]> wrote:

Hello, Robert,

I saw you at yesterday's Restore Rundberg Team meeting and am sorry I

didn't have a chance to talk with you. It's unfortunate that it took so long to get to the Latino Healthcare presentation.

Thank you for coming. Mary Jo and I very much appreciate your help.

Ann

---

[mail2web.com](http://mail2web.com) - Microsoft Exchange solutions from a leading provider - <http://link.mail2web.com/Business/Exchange>

**From:** Hayden, Stephanie  
**To:** [Dalrymple, Ruth](#)  
**Subject:** FW: City Council actions  
**Date:** Monday, March 27, 2017 6:19:23 PM  
**Attachments:** [Image001.jpg](#)

---

FYI  
Stephanie

---

**From:** Maddox, Kymberley  
**Sent:** Friday, March 17, 2017 12:45 PM  
**To:** Hayden, Stephanie <[Stephanie.Hayden@austintexas.gov](mailto:Stephanie.Hayden@austintexas.gov)>  
**Subject:** FW: City Council actions

As we discussed.

Kymberley Maddox  
Assistant Director for Administration  
Austin Public Health  
512-972-5041 (office)  
512-924-1899 (cell)  
512-972-5070 – Assistant, Jill Pickren

PHAB-SEAL-COLOR



---

**From:** Rivera, Carlos  
**Sent:** Wednesday, September 10, 2014 1:41 PM  
**To:** 'Frank Rodriguez' [REDACTED]  
**Cc:** Maddox, Kymberley <[Kymberley.Maddox@austintexas.gov](mailto:Kymberley.Maddox@austintexas.gov)>; Hayden, Stephanie <[Stephanie.Hayden@austintexas.gov](mailto:Stephanie.Hayden@austintexas.gov)>; Corona, Bob <[Bob.Corona@austintexas.gov](mailto:Bob.Corona@austintexas.gov)>; Shemilina, Elena <[Elena.Shemilina@austintexas.gov](mailto:Elena.Shemilina@austintexas.gov)>  
**Subject:** RE: City Council actions

Hello Frank,

We are aware of the time crunch and have already gotten the wheels in motion. We will reach out shortly.

Thanks

**From:** Frank Rodriguez [REDACTED]  
**Sent:** Tuesday, September 09, 2014 6:59 PM  
**To:** Rivera, Carlos  
**Subject:** City Council actions

Carlos,

The Restore Rundberg organization brought forward the \$75,000 proposal for their health initiative. They will be contacting you for the next steps.

Several community advocates requested funding for the ACA insurance marketplace outreach and enrollment. Council approved \$300,000. It is important to kickstart this project as soon as possible as the ACA enrollment starts November 15.

Both of these proposals are targeted to Latinos. Let me know if you wish to discuss further details. Thanks. FMR

Frank Rodriguez  
P.O. Box 1271  
Austin Texas 78767  
[REDACTED]

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**From:** Rivera, Carlos  
**To:** Frank Rodriguez  
**Cc:** Sherillina, Elena; Hayden, Stephanie  
**Subject:** RE: Following up  
**Date:** Wednesday, September 24, 2014 9:19:36 AM

---

Hello Frank,

We will get something on the calendar no later than for next week.

Thanks

Sent from my Verizon Wireless 4G LTE smartphone

----- Original message -----

**From:** Frank Rodriguez  
**Date:** 09/24/2014 7:27 AM (GMT-06:00)  
**To:** "Rivera, Carlos"  
**Subject:** Following up

You asked me if I had been contacted by your office about a meeting and I haven't. Hope to hear from you soon. Thanks. FMR

Frank Rodriguez  
P.O. Box 1271  
Austin Texas 78767  
[REDACTED]

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**From:** Rivera, Carlos  
**To:** Shemilina, Elena; Hayden, Stephanie  
**Subject:** Fwd: Following up  
**Date:** Wednesday, September 24, 2014 9:10:33 AM

---

Please make this happen ASAP.

Sent from my Verizon Wireless 4G LTE smartphone

----- Original message -----

From: Frank Rodriguez  
Date: 09/24/2014 7:27 AM (GMT-06:00)  
To: "Rivera, Carlos"  
Subject: Following up

You asked me if I had been contacted by your office about a meeting and I haven't. Hope to hear from you soon. Thanks. FMR

Frank Rodriguez  
P.O. Box 1271  
Austin Texas 78767  
[REDACTED]

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**From:** Kingham, Robert  
**To:** [Boyd, Leslie](#); [Staniszewski, Edna](#)  
**Subject:** FW: Signed Contract- Latino Healthcare Forum  
**Date:** Tuesday, September 30, 2014 6:45:46 AM  
**Importance:** High

---

Hi Leslie & Edna,

I need to discuss the email below with you ASAP b/c we need to move on these items quickly.

Thanks,  
Robert

---

**From:** Kingham, Robert  
**Sent:** Tuesday, September 30, 2014 6:44 AM  
**To:** 'frank@latinohealthcareforum.org'  
**Subject:** RE: Signed Contract  
**Importance:** High

Hi Frank,

We were notified during the City budget process that City Council approved \$75k for a feasibility study for a Community Health and Wellness Center for the Rundberg area and they allocated the funds in HHSD to administer this contract. If I'm not mistaken, this was the intent of the \$10k contract we developed earlier this month. I pulled the \$10k contract to revised it to reflect the \$75k allocation. Will you please confirm this is accurate and then we can start working on the updated work statement?

Also, I'm going to have someone in my office contact you to discuss the \$200k ACA insurance enrollment contract that you and Carlos Rivera spoke about last week.

Both of these contracts have to go to City Council for authorization and I'm targeting the 11/6/14 City Council meeting. The contract period will start on 10/1/14 for both contracts but the contract cannot be executed or funds dispersed until we have Council approval.

Thanks,  
Robert

**From:** [REDACTED] On Behalf Of  
[frank@latinohealthcareforum.org](mailto:frank@latinohealthcareforum.org)  
**Sent:** Friday, September 05, 2014 1:59 PM  
**To:** Kingham, Robert  
**Subject:** Signed Contract

Attached is the LHCF's signed contract. Thank you. FMR

--  
Frank M. Rodriguez  
Executive Director

**From:** Rivera, Carlos  
**To:** ["frank@latinohealthcareforum.org"](mailto:frank@latinohealthcareforum.org)  
**Cc:** [Hayden, Stephanie](#)  
**Subject:** RE: Status of Restore Rundberg health initiative  
**Date:** Thursday, October 02, 2014 2:10:30 PM

---

Thanks Frank

**From:** [REDACTED] [mailto:[REDACTED]] **On Behalf Of**  
frank@latinohealthcareforum.org  
**Sent:** Thursday, October 02, 2014 11:18 AM  
**To:** Mary Jo Hernandez; Ann Teich  
**Cc:** Monica A Guzmán, MA; Katrina Daniel; Kathy Gichangah; North Austin  
**Subject:** Status of Restore Rundberg health initiative

You had requested a status update for the upcoming Restore Rundberg meeting next week to be held at the N.Central Health Clinic on Braker Lane.

### Background

The Restore Rundberg partnership approved the Latino HealthCare Forum (LHCF) to conduct a community health needs assessment as one of four priorities for the Restore Rundberg Team. LHCF was approached because of its successful record in using data based research and community engagement strategies through a culturally competent lens to plan and implement neighborhood health plans. Most recently the LHCF worked closely with the community and assisted Central Health on their Southeast Health and Wellness Center (SEHWC) to be operated by Communitycare which opens this fall.

### Funding

The scope of the project includes a community health assessment component and implementation of key focus areas of the community health improvement plan. The LHCF made funding asks to;

- Central Health/Communitycare
- City of Austin Health and Human Services Department
- St. David's Foundation

Today I have heard back from the City of Austin and St.David's Foundation that they will participate in the project.

### Next Steps

With this support, we will move forward and I will brief the Health Committee chair(s) on the timeline and action steps next week. Even though I still haven't heard definitely from Central Health/Communitycare about their funding participation we hope and assume that they will participate in assisting the project as a resource with data and information about clinic operations. I am also copying the initial group that met on this topic sometime back as they have been inquiring about the status of this project. Let me know if you have any questions. We are very excited to be working with the Rundberg community on this community driven project. Let's give 'em health! Gracias. FMR

--

**From:** Kingham, Robert  
**To:** "Frank Rodriguez"  
**Subject:** RE: Rundberg Health project  
**Date:** Friday, October 03, 2014 6:27:00 AM

---

Good Morning Frank,

Thank you for sending this to me. I appreciate the overview. I was involved with the community health assessment/community health improvement plan HHSD conducted so I'm familiar with the concept and process...and I'm really excited to be involved with this project for the Rundberg area! I'll be on the lookout for your revised scope of work.

I do need to clarify something about the funding breakdown you listed below. When we were notified the City Council allocated the full \$75k for the health assessment, we had to pull the \$11k contract we were developing and replace it with the \$75k amount. We were not able to add \$75k to the planned \$11k because now we have to get City Council authorization for this contract with the Latino HealthCare Forum and this put us over the end of FY14 (9/30/14) in which the \$11k funds were allocated. I apologize I wasn't clear about this when I sent you my email earlier this week.

I'd be happy to discuss this with you further.

Thanks,  
Robert

**From:** Frank Rodriguez [REDACTED]  
**Sent:** Thursday, October 02, 2014 9:59 AM  
**To:** Kingham, Robert  
**Subject:** Rundberg Health project

Robert,  
I thought I would give you an overview of this project as it relates to funding.

#### Background

You have been attending the meetings of Restore Rundberg so you probably know this but I'll provide either way. The Restore Rundberg group added a health element to its goals. The RR group asked the Latino HealthCare Forum (LHCF) to prepare a scope of work after which they approved it. They asked the LHCF to seeking funding. The overall project consists of a community health assessment and a community health improvement plan, much like the City has undertaken for the entire city. There is also a clinical healthcare component as well.

#### Funding

The City of Austin HHSD offered \$11,000 toward the health assessment phase. In addition, St.David's Foundation is providing \$20,000 toward the assessment. The total for the assessment phase is \$75,000 so with the City's \$11,000 and St.David's \$20,000 this leaves a balance of \$44,000:

St.Davids - \$20,000



COA - \$11,000  
Total - \$31,000

Total Assessment =\$75,000  
Less: \$31,000  
Balance= \$44,000

This balance will come from the City's additional \$75,000 leaving a balance of \$31,000 which will implement two focus areas of the health improvement plan. We hope to raise an additional amount to supplement the health improvement plan to add focus areas but it will be from other sources than the City. Hope this clarifies the funding.

I will give you a revised scope tomorrow that incorporate all of the above with specificity towards the City's deliverables. Call me or we can visit if I need to clarify further. Thanks.  
FMR

--  
Frank M. Rodriguez  
P.O. Box 1271  
Austin, Texas 78767  
[REDACTED]

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**From:** Frank Rodriguez  
**To:** [Kingham, Robert](#)  
**Cc:** [Staniszewski, Edna](#); [Boyd, Leslie](#)  
**Subject:** Re: Rundberg Health project  
**Date:** Tuesday, October 21, 2014 9:58:13 AM

---

Thanks Robert and HHSD team. I'll promptly get back with the scope in the next two days.  
FMR

Frank Rodriguez  
P.O. Box 1271  
Austin Texas 78767  
[REDACTED]

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On Oct 21, 2014, at 9:38 AM, Kingham, Robert <[Robert.Kingham@austintexas.gov](mailto:Robert.Kingham@austintexas.gov)> wrote:

Good Morning Frank,

I spoke with Stephanie about this and she has approved this to be a deliverable based contract like the Restore Rundberg initiative. Let's get started with that statement of work so we'll have everything in place by the time we get approval from Council to execute the contract. Currently we are scheduled to go to City Council for approval of the insurance enrollment contract on 11/6. Attached is the template for the statement of work for the ACA insurance enrollment contract...as you'll see I already input 2 deliverables that are required for this contract. Please feel free to insert other deliverables as you see fit.

Please return this to me as soon as you can so we can get this processed through our Risk Management Office to determine if the insurance information you already submitted is sufficient. I've cc'd Edna and Leslie here at HHSD to assist with this; so please be on the lookout from an email from them if there are any questions about the required insurance for this and the Restore Rundberg contract.

Let me know if you have any questions and I'll be happy to address them.

Thanks,  
Robert

**Robert Kingham**

Manager

Community Based Resources Unit

Austin/Travis County Health and Human Services

P.O. Box 1088

Austin, TX 78767

Office (512) 972-5026; Fax (512) 972-5025

[www.austintexas.gov/department/health](http://www.austintexas.gov/department/health)

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**From:** Frank Rodriguez [REDACTED]  
**Sent:** Thursday, October 16, 2014 2:35 PM  
**To:** Kingham, Robert  
**Cc:** Rivera, Carlos; Hayden, Stephanie  
**Subject:** Fwd: Rundberg Health project

I had discussed with Stephanie and Carlos that because of the short and quick mobilization nature of this project that I would need some upfront resources and Stephanie a deliverable approach where for example, I could put upfront a deliverable of hiring and training the staff so I could bill and bring in resources for the project. Can we proceed on this basis as we discussed? I'm copying Carlos and Stephanie on this. Please advise. Thanks. FMR

----- Forwarded message -----

**From:** Kingham, Robert <[Robert.Kingham@austintexas.gov](mailto:Robert.Kingham@austintexas.gov)>  
**Date:** Thu, Oct 16, 2014 at 2:15 PM  
**Subject:** RE: Rundberg Health project  
**To:** Frank Rodriguez [REDACTED]

I'm sorry about that Frank...I thought someone in my office was reaching out to you. I'll make sure someone contacts you by Monday to discuss developing a statement of work and budget for the ACA Insurance Marketplace contract...this item is scheduled to go to City Council for approval on 11/6. This contract will be a little bit different b/c it's more in line with our regular social service contracts so it will be a cost reimbursement contract, not a deliverable based contract like the Restore Rundberg contract will be.

Thanks,

Robert

**From:** Frank Rodriguez [REDACTED]  
**Sent:** Thursday, October 16, 2014 2:12 PM  
**To:** Kingham, Robert  
**Subject:** Re: Rundberg Health project

Robert,  
You also mentioned that someone would get with me on the ACA Insurance Marketplace. I haven't heard from anyone. Thanks. FMR

On Thu, Oct 16, 2014 at 12:58 PM, Kingham, Robert  
<[Robert.Kingham@austintexas.gov](mailto:Robert.Kingham@austintexas.gov)> wrote:  
Hi Frank,

I just checking in with you about the updated statement of work for the Restore Rundberg assessment. We are seeking approval for this contract at the 11/20 City Council meeting so we need to get everything put together and ready by then. Please let me know if you have any questions or need any additional information.

Thanks,  
Robert

**Robert Kingham**

Manager  
Community Based Resources Unit  
Austin/Travis County Health and Human Services

P.O. Box 1088  
Austin, TX 78767  
Office [\(512\) 972-5026](tel:5129725026); Fax [\(512\) 972-5025](tel:5129725025)

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---

**From:** Kingham, Robert  
**Sent:** Friday, October 03, 2014 6:27 AM  
**To:** 'Frank Rodriguez'  
**Subject:** RE: Rundberg Health project

Good Morning Frank,

Thank you for sending this to me. I appreciate the overview. I was involved with the community health assessment/community health improvement plan HHSD conducted so I'm familiar with the concept and process...and I'm really excited to be involved with this project for the Rundberg area! I'll be on the lookout for your revised scope of work.

I do need to clarify something about the funding breakdown you listed below. When we were notified the City Council allocated the full \$75k for the health assessment, we had to pull the \$11k contract we were developing and replace it with the \$75k amount. We were not able to add \$75k to the planned \$11k because now we have to get City Council authorization for this contract with the Latino HealthCare Forum and this put us over the end of FY14 (9/30/14) in which the \$11k funds were allocated. I apologize I wasn't clear about this when I sent you my email earlier this week.

I'd be happy to discuss this with you further.

Thanks,  
Robert

**From:** Frank Rodriguez [REDACTED]  
**Sent:** Thursday, October 02, 2014 9:59 AM  
**To:** Kingham, Robert  
**Subject:** Rundberg Health project

Robert,  
I thought I would give you an overview of this project as it relates to funding.

#### Background

You have been attending the meetings of Restore Rundberg so you probably know this but I'll provide either way. The Restore Rundberg group added a health element to its goals. The RR group asked the Latino HealthCare Forum (LHCF) to prepare a scope of work after which they approved it. They asked the LHCF to seeking funding. The overall project consists of a community health assessment and a community health improvement plan, much like the City has undertaken for the entire city. There is also a clinical healthcare component as well.

#### Funding

The City of Austin HHSD offered \$11,000 toward the health assessment phase. In addition, St.David's Foundation is providing \$20,000 toward the assessment. The total for the assessment phase is \$75,000 so with the City's \$11,000 and St.David's \$20,000 this leaves a balance of \$44,000:

St.Davids - \$20,000  
COA - \$11,000



Total - \$31,000

Total Assessment = \$75,000

Less: \$31,000

Balance = \$44,000

This balance will come from the City's additional \$75,000 leaving a balance of \$31,000 which will implement two focus areas of the health improvement plan. We hope to raise an additional amount to supplement the health improvement plan to add focus areas but it will be from other sources than the City. Hope this clarifies the funding.

I will give you a revised scope tomorrow that incorporate all of the above with specificity towards the City's deliverables. Call me or we can visit if I need to clarify further. Thanks. FMR

--

Frank M. Rodriguez  
P.O. Box 1271  
Austin, Texas 78767  
[REDACTED]

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## INTERVIEW MEMORANDUM

<b>INTERVIEWEE(S)</b>	Interim Director, Austin Public Health		
<b>CAIU STAFF</b>	Travis Casner (HSSK)		
<b>LOCATION</b>	Office of the City Auditor	<b>Date/Time</b>	03-13-2018

On March 13, 2018, Travis Casner (HSSK) conducted a witness interview with the Interim Director of Austin Public Health (“the Interim Director”), at the City Auditor’s Office. The purpose was to interview the Interim Director about the allegations of a conflict of interest against Frank Rodriguez (former LHCF CEO/Executive Director). The following was determined:

**CONCLUSION:**

- The Interim Director of Austin Public Health (previously the Health and Human Services Department or “HHSD”) was the Assistant Director of HHSD and later the Deputy Director.
- The LHCF first contracted with the City of Austin to perform outreach services related to a project with Huston-Tillotson which became the Southeast Austin Health and Wellness Center. The contract was for around \$25,000.
- The Interim Director indicated that it was “pretty evident” that the LHCF was going to receive the \$75,000 in funding approved by City Council since the LHCF and Restore Rundberg group were already at the table seeking funding from the City of Austin and Central Health prior to City Council approval.
- The Interim Director attended an HLQL Commission meeting in 2014 and recalls seeing a spreadsheet of extensive budget recommendations which included the community health assessment for Restore Rundberg and the ACA enrollment.
- In 2014, there were two agencies that HHSD was aware of that could provide ACA services, the LHCF and Foundation Communities.
- The Interim Director recalls an email from Rodriguez, to HHSD Director Carlos Rivera stating that the ACA enrollment funding needs to go to the people who need it.
- HHSD was looking at two agencies for ACA enrollment and typically in these situations the HHSD would select the larger vendor with more history, which in this case was Foundation Communities.
- The Interim Director raised a concern to former HHSD Director Rivera that the LHCF had issues previously with smaller contracts and wasn’t sure about entering into a larger contract with them.
- HHSD had to take additional steps for the ACA enrollment contract with the LHCF compared to Foundation Communities including modifying the contract to be a deliverables-based contract.

- The LHCF's ACA enrollment contract was focused more on outreach for specific zip codes and hard to reach individuals and Foundation Communities was more focused on enrollment.
- HHSD made it clear to the LHCF that the ACA enrollment and Restore Rundberg contracts were one-time funding based on the budget adoption transcript from City Council.
- During the annual review process, the Interim Director recalls a staff person asking the LHCF about the 2015 Form 990 which included compensation for Rodriguez. The LHCF communicated to HHSD that the compensation was for the first part of the year when Rodriguez was still Executive Director and some residual compensation related to the first part of the year.
- According to the Interim Director, if the HHSD had full disclosure that Rodriguez was being paid as a consultant by the LHCF while employed by the City of Austin, the HHSD would have reported it to the City Auditor's office, city management and the City Attorney because it is clearly a conflict of interest since Rodriguez is in a position of power and influence as an advisor to the Mayor.
- The Interim Director did not manage the annual review process in 2014 and 2015 and was not aware that LHCF's Chief Administrative Officer, Linda Smith, was [REDACTED] or that the LHCF rented office space from an employee.
- The Interim Director stated that HHSD aggressively managed the corrective action plans from the annual reviews with the LHCF and even brought it to the attention of the Assistant City Manager.
- When the community health assessment for Montopolis / Del Valle was funded in 2016, HHSD elected to do a competitive bid process. The Interim Director recalls that the LHCF application was rated very low, maybe somewhere around a 50 out of 100.

## DETAIL:

### BACKGROUND

The Interim Director has worked for the City of Austin for 17 years in different roles including as a Program Supervisor, HHSD Manager, HHSD Assistant Director and HHSD Deputy Director before becoming the Interim Director.

In 2014, the Interim Director was the Assistant Director for the HHSD and responsibilities included social services contracts, HIV contracts, the HIV planning council and the African American Quality of Life Resource Advisory Commission.

The Interim Director first met Rodriguez approximately 10 years ago when while a Manager for HHSD and Mr. Rodriguez worked at Mexic Arte, an Austin-based non-profit. Mexic Arte had a contract with the City of Austin related to youth services. The Interim Director recalls that Rodriguez left that organization to start the LHCF.

The Interim Director recalls working with Rodriguez again when he was with the LHCF for a City of Austin project with Huston-Tillotson University which had a community outreach component. According to the Interim Director, Huston-Tillotson didn't necessarily have the desire or people to do outreach and it was suggested that the LHCF perform these

services. The City of Austin entered into a small contract with the LHCF for around \$25,000 towards the Huston-Tillotson project which ultimately became the Southeast Austin Health and Wellness Center.

### **RESTORE RUNDBERG CONTRACT**

The Interim Director recalls that around 2014, the original grant for Restore Rundberg was expiring and the LHCF was a community partner for the Restore Rundberg group and approached the City of Austin and Central Health for additional funding. The City of Austin was in the process of contracting with the LHCF when the City Council approved \$75,000 for Restore Rundberg.

According to the Interim Director, it was pretty evident when the \$75,000 was approved by City Council that the funds were going to the LHCF because there was an “ask” from the community already out there for Restore Rundberg, and this group was already at the table along with the LHCF who had already provided plans for funding.

### **HLQL COMMISSION**

The Interim Director recalls attending an HLQL Commission meeting in 2014 to discuss the City of Austin contracting process and recalls a spreadsheet being circulated that had an extensive list of funding requests for education, outreach, health and other issues. During the meeting, people were divided into workgroups to work on specific recommendations from the spreadsheet. The Interim Director recalls seeing specific requests in the spreadsheet related to the Restore Rundberg community health assessment as well as the Affordable Care Act enrollment (“ACA enrollment”).

According to the Interim Director, the HLQL Commission would come up with recommendations for the budget and the membership held a vote and the approved recommendations were provided to Bert Lumbreras, the liaison between the City of Austin and the HLQL Commission. Jason Garza was another City of Austin employee involved in the HLQL Commission who kept the meeting minutes and assisted Lumbreras. Once the recommendations went to Lumbreras/Garza, they eventually went to the Mayor’s office and City Council where they might be sponsored and “tee’d up” for budget approval.

### **ACA ENROLLMENT**

In 2014, there were two agencies that the HHSD was aware of that could provide ACA enrollment services, the LHCF and Foundation Communities. According to the Interim Director, the HHSD had some history with the LHCF as they had previously administered some small contracts such as the Huston-Tillotson project, but the HHSD had a much longer history with Foundation Communities, especially with larger contracts such as the ACA enrollment contract.

According to the Interim Director, the HHSD typically does not pay two vendors for the same services, and ideally there is only one vendor. However, the Interim Director recalls that Rodriguez reached out to the current HHSD Director, Carlos Rivera, via email to ensure that the funding for ACA enrollment goes to the people who need it. According to the Interim Director, the HHSD was looking at both the LHCF and Foundation Communities, but the Interim Director’s opinion at the time was that the HHSD should have contracted with the larger agency (Foundation Communities) or at least given them the majority of the funding because of the longer history and the fact that the City Council budget transcript specifically mentioned Foundation Communities when the ACA enrollment funding was approved. The Interim Director indicated that when there is clear direction from City Council, HHSD usually follows that direction.

The Interim Director raised concern to Rivera about entering into a large contract with the LHCF because they previously had numerous issues on the smaller contracts, but felt that Director Rivera had made up his mind to go with the LHCF receiving the majority of the ACA enrollment funding. The Interim Director also said that the HHSD had to do additional work during the contracting process for the LHCF compared to Foundation Communities such as modifying the contract to make it deliverables-based rather than a normal social services contract.

According to the Interim Director, Foundation Communities was a brick and mortar operation with tax centers and would pick up more enrollment volume, whereas the LHCF was smaller and focused on specific zip codes and hard to reach individuals. The goal for the LHCF was to do more outreach work and Foundation Communities was focused more on enrollment.

According to the Interim Director, it was made very clear to the LHCF that both the ACA enrollment and Restore Rundberg contracts from the 2014/2015 fiscal year budget were one-time funding approved by City Council and that Director Rivera was also aware that it was approved as one-time funding.

The Interim Director indicated that in 2015 when the LHCF's ACA enrollment contract was being renewed, the contract was divided into two contracts including a smaller administrative contract that would provide immediate funding. According to the Interim Director, the reasoning behind this decision was that the LHCF was a small non-profit and the budget is approved in September and there was a 4 week wait to get on City Council's agenda for contract approval and they needed the funds in time for open enrollment in October/November.

#### **MR. RODRIGUEZ'S EMPLOYMENT WITH THE CITY OF AUSTIN**

The Interim Director was aware of Rodriguez's transition from the LHCF to a City of Austin employee soon after it happened, recalling a conversation with Director Rivera about an article in the Austin American Statesman naming Rodriguez as one of Mayor Adler's cabinet members. The Interim Director recalls Director Rivera indicating that he was aware of this transition and that Rodriguez was planning on resigning from the LHCF.

The Interim Director recalls during an annual review of the LHCF, an HHSD staff person went out to conduct a site visit and looking at the LHCF's Form 990 tax record for 2015 which included compensation for Rodriguez. The explanation provided by the LHCF was that the compensation on the Form 990 related to the first part of 2015 when Rodriguez was still on the payroll working for the LHCF as Executive Director. The Interim Director indicated that the HHSD was only aware of what LHCF called "residual payments" to Rodriguez for the first quarter of 2015 and that if he was being paid as a consultant by the LHCF it was unclear how they would have been documenting that. According to the Interim Director, from HHSD's perspective, it was assumed that when Rodriguez went to work for the City of Austin he cut ties with the LHCF. If the HHSD had full disclosure that Rodriguez was being paid by the LHCF as a consultant, it would clearly be a conflict of interest because Rodriguez was in a position of power and influence as an advisor to the Mayor. The Interim Director stated that had they been aware, the HHSD would have turned it in to the City Auditors Office and the Assistant City Manager, as well as talked to the City Attorney about recourse because it would be a conflict of interest knowing that Rodriguez was still on the LHCF's payroll, even if it was only as a consultant.

According to the Interim Director, when Rodriguez was employed by the City of Austin, there likely were not any conversations with Rodriguez related to the LHCF and the conversations were primarily with Jill Ramirez. The LHCF was constantly telling HHSD that the ACA enrollments should be automatically renewed and HHSD would have to redirect them



to City Council and the budget adoption transcript. The Interim Director recalls the LHCF telling HHSD staff that they would go directly to the elected officials to get the contract extensions if needed.

### **HHSD ANNUAL REVIEWS**

The Interim Director indicated that an HHSD auditor uncovered numerous issues during the annual review process. At the time, the Interim Director didn't oversee the management of the corrective action plans ("CAP") from the annual reviews because of the reorganization within HHSD. The Interim Director recalls that only recently during an interview with the Statesman learned that Rodriguez [REDACTED] the LHCF's Chief Administrative Officer, Linda Smith. The Interim Director subsequently reviewed all of the previous CAPs to see what other issues were identified related to the LHCF. At this time, the Interim Director became aware that the LHCF was renting its office space from Jill Ramirez, an employee of the LHCF. The explanation provided by the LHCF was that it was the only inexpensive office space available to them.

The Interim Director indicated that after transitioning into the role of Deputy Director and then Interim Director of HHSD, they became more aggressive with the CAPs for the LHCF and even made the Assistant City Manager aware of the issues.

### **MONTOPOLIS / DEL VALLE COMMUNITY HEALTH ASSESSMENTS**

The Interim Director recalls that the City Council approved funding for the 2016/2017 budget for a community health assessment for Montopolis / Del Valle and that HHSD decided to go through a competitive process and solicit bids. HHSD had personnel rate the bids and applications for all of the vendors and recalls that the LHCF received a low score comparatively, maybe somewhere around a 50 out of 100.

The Interim Director also recalled that the LHCF appealed the HHSD's decision to solicit bids because they felt that the funding was approved for the LHCF. The Interim Director told the LHCF that they went back and reviewed the budget adoption transcript and there wasn't any clear direction.

### **CONTRACT APPROVAL PROCESS**

The Interim Director stated that if time is not a factor, it is ideal for the HHSD to do a competitive bid process and solicit bids from different vendors. If there is not time and there are two agencies involved, the funding should be split in half unless there is a reason not to do so. The Interim Director elected to split the \$250,000 approved by City Council in 2017 equally with \$125,000 going to the LHCF and \$125,000 going to Foundation Communities. The Interim Director recalls the LHCF being very unhappy and vocal about this decision.

The Interim Director recalls that in prior years when the LHCF would get the larger piece of the funding, HHSD was able to move money around to provide the same level of funding to Foundation Communities as the LHCF. HHSD set up the ACA enrollment contract with Foundation Communities in the 2<sup>nd</sup> year of funding to include renewal options, which were not guaranteed, to help make the process easier each year. HHSD did not elect to do this with the LHCF because the options were not guaranteed and there was some concern that the LHCF would have the perception that the renewals were guaranteed funding each year.

## INTERVIEW MEMORANDUM

<b>INTERVIEWEE(S)</b>	Former Manager, Austin Public Health		
<b>CAIU STAFF</b>	Travis Casner (HSSK)		
<b>LOCATION</b>	Office of the City Auditor	<b>Date/Time</b>	03-13-2018

On March 13, 2018, Travis Casner (HSSK) conducted a witness interview with a Former Manager at Austin Public Health (previously the Health and Human Services Department “HHSD”), at the City Auditor’s Office. The purpose was to interview the Former Manager about the allegations of a conflict of interest against Frank Rodriguez (former LHCF CEO/Executive Director). The following was determined:

**CONCLUSION:**

- The Former Manager recalls attending a Restore Rundberg meeting in July 2014 in which Mr. Rodriguez presented a framework of how the LHCF would do a community health assessment.
- Mr. Rodriguez and the LHCF were working all possible funding angles through department leadership, city leadership, City Council and Boards/Commissions for ACA enrollment and Restore Rundberg funding in 2014.
- Mr. Rodriguez had discussions with then Director of HHSD, Carlos Rivera, in 2014 prior to and after City Council’s approval of funding for ACA enrollment and Restore Rundberg.
- In September 2014, ACA enrollment was a brand-new initiative and there were only two agencies in Austin able to do enrollment, the LHCF and Foundation Communities.
- Once City Council approved \$300,000 in funding for ACA enrollment, the decision came from HHSD’s Director, Carlos Rivera, on how much of the funding would go to the LHCF.
- HHSD decided to enact deliverables-based contracts with the LHCF since they were a new agency and this type of contract required less capital upfront compared to normal social services contract, which was a reimbursement contract.
- The LHCF’s 2014 contracts for ACA enrollment and Restore Rundberg were one-time funding based on the City Council budget transcript from the dais which indicated these contracts were approved as one-time funding rather than as part of the base budget.
- In 2015, the renewal of the LHCF’s ACA enrollment contract was divided into two contracts so that the LHCF could receive funding in time for November open enrollment since the LHCF was smaller and didn’t have the resources to wait for City Council approval of their contract.

- The ACA enrollment contracts for LHCF and Foundation Communities were not apples to apples because the LHCF was doing outreach and enrollment for hard to reach communities, whereas Foundation Communities was focused primarily on enrollment as a navigator.
- In 2015 when the Restore Rundberg contract was renewed, the Former Manager said that there was some degree of entitlement by the LHCF that they should be awarded the funding for the implementation since they prepared the recommendations.
- The Former Manager did not recall whether or not Mr. Rodriguez was paid as a consultant by the LHCF while employed by the City of Austin but indicated that if so it should be reflected in the annual reviews conducted by HHSD, and that it would be inappropriate from a city staffing standpoint.
- The Former Manager recalls several issues raised by HHSD during annual reviews of the LHCF including its use of cash-based accounting and renting office space from an employee.
- The Former Manager was not aware that the LHCF's Chief Administrative Officer, Linda Smith, [REDACTED] Mr. Rodriguez until the first annual review conducted by the HHSD in 2015.

## DETAIL:

### BACKGROUND

The interviewee currently works for the City of Austin in the Downtown Community Court Department. Previously, the interviewee was the Social Service Unit Policy Manager (previously referred to as a Community Based Resource Manager) with Austin Public Health (previously the Health and Human Services Department ("HHSD")) from around 2013/2014 through February 2017. According to the Former Manager, the HHSD went through a reorganization in 2015, after the departure of Director Carlos Rivera.

The Former Manager started as a Community Based Resource Manager and oversaw the contract process from "cradle to grave," including procurement through contract management and close-out. The Former Manager recalls that the HHSD was reorganized in or around 2015 to separate the contract procurement from the contract management. The Former Manager's role after the reorganization was focused on the contract procurement.

### RESTORE RUNDBERG MEETINGS

The Former Manager first met Mr. Rodriguez around 2014 through various City Council meetings, agency trainings for agencies contracting with the City of Austin, and other board and commission meetings such as the Hispanic/Latino Quality of Life Resource Advisory Commission ("HLQL Commission"). The Former Manager also attended a community event for the Restore Rundberg group in July 2014 and recalls a presentation by Mr. Rodriguez on behalf of the LHCF. Mr. Rodriguez presented a framework on how the LHCF would do a community health assessment and improvement plan, similar to how the LHCF had done previous health assessments for the Southeast Austin Health and Wellness Center and Dove Springs. The Former Manager indicated that Mr. Rodriguez discussed the cost of the assessment but does not recall a specific amount provided by Mr. Rodriguez.

## 2014 LHCF CONTRACTS

In 2014, the Former Manager recalls the LHCF working on a couple of social service initiatives for Restore Rundberg and ACA enrollment and that the LHCF initially secured a small amount of funding through the City of Austin (approximately \$11k) that was funded through a different department than HHSD. The Former Manager stated that Mr. Rodriguez and the LHCF were working all possible funding angles through department leadership, city leadership, City Council and Boards/Commissions. Specifically, the Former Manager recalls Mr. Rodriguez having discussions with Carlos Rivera in 2014 prior to and after City Council's approval of funding for ACA enrollment and Restore Rundberg.

The Former Manager indicated that in September 2014, ACA enrollment was a brand-new initiative and there were only two agencies in Austin that were able to provide ACA enrollment services, the LHCF and Foundation Communities. According to the Former Manager, once the \$300,000 in funding for ACA enrollment was approved in September 2014, the decision came out of the Director's office (Mr. Rivera) as to how the funding would be allocated. The Former Manager recalls receiving an email from the Assistant Director indicating that Mr. Rodriguez had a meeting with Mr. Rivera and it was already decided how much funding would go to the LHCF.

In 2014, once it was decided to enter into a contract with the LHCF, HHSD decided that a different funding mechanism was needed due to the LHCF's size and lack of capital, as opposed to the normal social services or reimbursement contracts. HHSD decided to make the contracts with the LHCF deliverables based which would allow the LHCF to receive funding throughout the contract when certain deliverables were achieved. Social services contracts normally require an invoice that is reimbursed by HHSD.

The Former Manager stated that it was the HHSD's understanding that the LHCF's ACA enrollment and Restore Rundberg contracts were "one-time funding" based on how they were approved in the budget by City Council. According to the Former Manager, once funding is approved, HHSD refers back to the budget transcript directly from the dais to determine the intent of the funding by City Council and whether or not it is one-year or multi-year, or whether or not a specific vendor was approved. In some cases where the intent of City Council was unclear, HHSD would go back to City Council to get further clarification and sometimes involve members of the Mayor's office.

## MR. RODRIGUEZ'S EMPLOYMENT WITH THE CITY OF AUSTIN

The Former Manager was aware of Mr. Rodriguez's transition into the Mayor's office in early 2015 when Mayor Adler was assembling his cabinet. Mr. Rodriguez informed the Former Manager that his new role with the City of Austin was an advisory role focused on social services and health issues.

The Former Manager does not recall that Mr. Rodriguez was being paid as a consultant by the LHCF while also working in the Mayor's office. The Former Manager stated that if Mr. Rodriguez was being paid as a consultant that this information would be reflected in the paperwork associated with the annual reviews conducted by HHSD. The Former Manager was not as involved in the annual reviews after the reorganization in 2015 and stated that Mr. Rodriguez's compensation as a consultant would have been inappropriate from a city staffing standpoint.

## HHSD ANNUAL REVIEWS

The Former Manager was not directly involved in the annual reviews of agencies contracting through HHSD after the reorganization, as this process was managed by the department focused on contract management. However, the Former

Manager was aware of some of the issues identified by HHSD as part of their annual review of the LHCF. The Former Manager stated that some of the issues were to be expected given that the LHCF was new and smaller, and that the issues were not severe enough that the HHSD terminated its contracts with the LHCF. The Former Manager recalls that one of the issues related to the LHCF's use of cash-based accounting rather than accrual based and recalls an issue raised related to the LHCF's renting office space owned by an employee. The Former Manager said that the LHCF provided very little resistance to implementing the changes requested by HHSD.

The Former Manager indicated that in 2014, HHSD was not aware of the contractual relationship between the LHCF and Sendero. In addition, the Former Manager was not aware until the first annual review that the LHCF's Chief Administrative Officer, Linda Smith, [REDACTED] at the time the HHSD entered into a contract with the LHCF. During the review process, the Former Manager recalls the HHSD doing an analysis to determine if Linda Smith's compensation was in-line with industry norms, which it was determined that it was.

### **ACA ENROLLMENT CONTRACTS**

For the ACA enrollment contracts administered by HHSD, the Former Manager stated that HHSD contracted with both the LHCF and Foundation Communities, but there was a difference in the contracts where LHCF's contract included both outreach and enrollment whereas the Foundation Communities contract was almost entirely enrollment as a navigator. The Former Manager estimated that the LHCF's contract was about 40% outreach and 40% enrollment, whereas Foundation Communities' contract was more like 80% enrollment. The Former Manager also stated that the LHCF was targeting hard to reach communities and therefore comparing enrollment statistics between the two agencies was not an apples to apples comparison. According to the Former Manager, it is more expensive to serve the hard to reach communities and Foundation Communities was already offering tax services which brought many of their enrollment clients to them.

The Former Manager stated that the HHSD didn't have great visibility as to which agencies involved in ACA enrollment were receiving federal funding from the federal navigator grants as that information was not available in real-time while they were negotiating contracts with the agencies.

The Former Manager recalls that in 2015, the HHSD split up the LHCF's ACA enrollment contract into two contracts, an administrative contract for approximately \$50,000 and a second contract to get to the \$200,000 that would have to be approved by City Council. The Former Manager stated that the decision was made by the department as a way to get the LHCF funding in time for the November open enrollment period. The Former Manager also indicated that this was in part due to the LHCF's small size and lack of resources, which required funding in advance for enrollment resources.

### **RESTORE RUNDBERG CONTRACTS**

When asked if the LHCF received preferential treatment by HHSD, the Former Manager did not feel the LHCF received preferential treatment with the first Restore Rundberg contract because there was an "ask" from the community and the Restore Rundberg group wanted the LHCF to conduct the assessment. However, the Former Manager stated that in the 2<sup>nd</sup> year of funding related to the implementation of the LHCF's recommendations, there was some degree of entitlement by the LHCF since they conducted the initial assessment and the decision to award the Restore Rundberg implementation contract to the LHCF was made at a higher level.



**MONTOPOLIS / DEL VALLE COMMUNITY HEALTH ASSESSMENTS**

The Former Manager discussed the funding approved by City Council for the 2016/2017 budget for a health assessment for Montopolis and Dove Springs and how there was some confusion during the process because the funding initially came through the HLQL Commission for Montopolis but it was combined with Del Valle during approval process. The Former Manager said that if there was confusion on the intent of City Council, HHSD would often go back to the advisory commission for clarification on the recommendations, but the funding had changed during the budget approval process so it was not feasible to refer to the HLQL's budget recommendation related to only Montopolis. According to the Former Manager, Jill Ramirez communicated that Councilmember Renteria intended for the funding to go to the LHCF. The Former Manager stated that since there was no clear intent on funding to the LHCF, it was decided that HHSD would solicit bids, in part to avoid the entitlement that occurred for the renewal of the Restore Rundberg contract.

**CONTRACT APPROVAL PROCESS**

In regards to the contracting process from advisory commission recommendations, in the first year (2014) the budget recommendations often included the vendor to receive the funding, which the Former Manager didn't necessarily agree with. In the second year (2015), the budget recommendations included the program but not a specific vendor. In the third year (2016), the process was more nebulous.

## City Council Budget Adoption Reading Transcript – 09/08/2015

Title: ATXN 24/7 Recording

Channel: 6 - ATXN

Recorded On: 9/8/2015 6:00:00 AM

Original Air Date: 9/8/2015

Transcript Generated by SnapStream

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[9:51:26 AM]

>> Mayor Adler: Are we ready? Good morning. Today is Tuesday, September 8th, 2015. We are in the city council chambers, 301 west second street. The time is 9:50. We have both set today a regular meeting and a working meeting. The working meeting concerns the land use cases that are available for us to take up and set right now for Thursday. Whether or not we can actually take up land use cases on Thursday is going to depend on where we are with the budget at the end of today and at the end of tomorrow. Whether or not we get to the work session or how we get to the work session will be decided on how we do today. Because we're going to start with budget. We're going to start with the budget by working off of item number 1, which is the operating budget. On August 20th and 27th, the council took public comment about the city's proposed budget and then closed the public comment part of the budget hearing. We now need to conclude the hearing by discussing and voting to adopt the city's budget for fiscal year 2015-2016. At this time we're going to take action to adopt the city's budget for fiscal year 2015-2016. So this is what I would propose that we do, which I think will get us from here to there most quickly. And recognize that we're trying something new and doing this so everybody's patience will be greatly appreciated as we figure out and see how this works.

[9:53:28 AM]

Obviously there are glitches and unanticipated glitches already this morning and we haven't even started. But this is the intent if it's okay for the council. I'm going to ask for a motion to adopt the manager's recommended budget. I'll ask for that motion, hopefully I'll get a second. Then we'll start amending that budget. The first amendment that we'll take will be the staff's recommended amendments that we got two weeks ago when the new Numbers came in for property value. Hopefully that motion will be made and seconded and then adopted. And then our working budget then is the budget as amended by the manager's staff two weeks ago. I will entertain global motions with respect to matters -- just cutting spending to the levels that they were a year ago, taking all the money that's undesignated and assigning that as tax relief because there are several members on the dais that would like to make those motions and get a vote on those motions, and we'll go ahead and do that. Once we're done with that we'll start moving to the concept menu. We posted a concept menu on Friday. That is what I just handed out to you. It is number 1. It was posted on Friday. It was also posted on the bulletin board this morning as number 1. It's been handed to you, there's a number 1 in the right-hand corner of what was handed out. Our budget staff has handed out a different concept menu this morning, which is that budget on Friday with some things that came up Saturday and Sunday.



>> Tovo: That is on page 19?  
>> It's on page 19, correct.  
>> Tovo: That's already in what we have. That's already in our budget.  
>> Mayor Adler: Yes.  
>> Tovo: Okay.  
>> That is correct.  
>> Tovo: Great. And then I would like to add in here --  
>> Houston: Just wanted to make sure.

[5:24:28 PM]

>> Well, I think councilmember Houston, you're talking about having 1.12 be \$600,000 instead of 2,185,000 but that \$600,000, 300 of that was for the cultural heritage district so if I were following your earlier comments correctly, I think now item 1.12 would only be \$300,000, 150 for cultural contracts and 150,000 for KEZI. I think that's right.  
>> Houston: [Off mic]  
>> Mayor Adler: Okay.  
>> You haven't turned that on yet. I'm trying to keep track, we come back to 1.12 and there's discussion or vote on it, I think that number would be \$300,000, not 600.  
>> Tovo: Then my addition is, again, this is from my Friday list, to allocate \$32,000 to meet the demand that the asian-american resource, this relates to the budget question 258. It was also a recommendation from the asian-american quality of life commission that they are at capacity and they have a wait list and that additional funding would allow them to increase their capacity at the senior -- at the congregant -- senior congregant meals program. I did put a note there was another program started at the same time at dove springs rec center at this point that is not at capacity and in fact they haven't had quite the -- as the budget question indicated, they don't -- they have lacked the staff to really make sure that the -- well, that would help get more people in there to use the congregant meals. I just noted that might be something we want to consider down the road now that we're considering adding staff to dove springs. Their meals program may need a similar influx of additional funding at the midyear, would be a total of 32,000. And, again, that's budget question 258. And an asian-american quality of life commission recommendation from earlier this spring.

[5:26:31 PM]

>> Mayor Adler: That's in the budget. That's in what we're looking at here? Yes, Ms. Pool?  
>> Pool: I was looking at 1.38 that councilmember Renteria had and this is the health issues in rundberg. Was that 175,000 included in our health and human services conversation earlier?  
>> Mayor Adler: Yes.  
>> Pool: Okay. Is it double counted here or is it just simply here and not in the other place? Okay, thanks.  
>> Mayor Adler: It is here, not in the other place. Ms. Tovo.  
>> Tovo: I have a question about item 37. We talked about it the other day, this is the outreach and education for health insurance enrollment and we've incorporated it into our base budget but I don't know if we have staff who could tell us whether we're already funding organizations who are doing that work. It seems to me at our health and human services meeting that we had several organizations, including foundation communities, who came forward and thanked the city for their support of their efforts to increase health insurance enrollment. In fact we had individuals who said they had participated in that and as a result have been able to register for health -- so could you help me just



understand whether this expenditure in 1.37 is necessary and will be helpful or are we already kind of participating in supporting organizations that are doing that work?

>> Stephanie Hayden, assistant director, health and human services. Currently in our current budget, which the -- at the end of September, the contracts will end, for \$300,000. We have a \$200,000 with Latino healthcare forum and \$100,000 investment with [Indiscernible] Communities. We also have coming forward on the September 17 council agenda \$100,000 for foundation communities, which will take us into the upcoming fiscal year.

[5:28:32 PM]

We have done a little bit of research, and we've made contact with central health, as well as Travis county. Travis county will not have an investment, and we have been told that as a part of central health's budget, there is going to be a -- it's in our budget process so they're working on it as well. \$400,000 from central health for foundation communities, and there's going to be \$190,000 that's going to be for the navigation piece. So that kind of gives you the picture of what we've been able to find out in the community as well as city of Austin investment.

>> Tovo: Just one clarification. So last year the city of Austin allocated \$300,000 for this effort. But those contracts are ending.

>> Yes, ma'am.

>> Tovo: So but for 137 we wouldn't have that -- we wouldn't have 300,000, we would only have 100,000?

>> Yes, ma'am.

>> Tovo: All right, thank you. That answers my question about its need. I appreciate that information.

>> Mayor Adler: Okay. Is there any other items people are going to make? Okay, Ms. Garza.

>> Garza: I'd like to add 1.41, the hispanic Latino leadership program at the rec.

>> Mayor Adler: Okay. Any further discussion? Okay. Anyone want to make any motions? Ms. Houston.

>> Houston: I move that we adopt this portion of the budget as amended.

[5:30:39 PM]

And with all that other stuff.

>> Mayor Adler: Okay, I think we need to do them in turn.

>> Houston: Oh, well.

>> Mayor Adler: Ms. Houston moves 1.12, which is 150,000 for the cultural contracts, 150,000 for kazi. What is the 150,000 for. Kazi.

>> Kazi is a non-profit station where most of the people in the district get their information. They are always -- always strapped for -- for equipment and increase in -- increasing their bandwidth, it would be a one-time funding to help them get up to par.

>> Gallo: Mayor, I have a question.

>> Mayor Adler: Yes.

>> Gallo: Why are they listed -- maybe to councilmember Houston in C.I.P. Instead of one time or general funds? I'm not understanding how that would pay for this --

>> Mayor Adler: Those were just notes that I had put on because there was the detail of what Ms. Houston that given to us. That C.I.P. Note should probably get put into the description column.

>> Gallo: Okay. So the motion is to put them where?

>> Mayor Adler: So 1.12 is \$300,000 in the -- these are all general fund expenses, presented that way.

>> Houston: Except for kazi, one-time funding.

>> Mayor Adler: Ms. Houston, is there a priority among the five million dollars worth of expenses?



3:39 PM

01/19/18

Accrual Basis

**Latino HealthCare Forum**  
**Find Report**  
**January through December 2015**

Type	Date	Num	Name	Memo	Account	Debit	Credit	Balance
<b>Jan - Dec 15</b>								
Check	01/09/2015	1579	Frank Rodriguez		100100 · Debit Transactions		2 193 32	-2 193 32
Check	01/09/2015	1579	Frank Rodriguez		66011 · Administrative	2 694 45		501 13
Check	01/09/2015	1579	Frank Rodriguez		66051 · Fica Taxes			
Check	01/09/2015	1579	Frank Rodriguez		66052 · Medicare			
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Check	01/23/2015	1631	Frank Rodriguez		66011 · Administrative	2 694 45		501 13
Check	01/23/2015	1631	Frank Rodriguez		66051 · Fica Taxes			
Check	01/23/2015	1631	Frank Rodriguez		66052 · Medicare			
Check	01/23/2015	1631	Frank Rodriguez		66053 · Fed W/H			
Check	01/23/2015	1632	Frank Rodriguez		10000 · BC Bank		603 08	-603 08
Check	01/23/2015	1632	Frank Rodriguez		66016 · City of Austin	673 61		70 53
Check	01/23/2015	1632	Frank Rodriguez		66051 · Fica Taxes			
Check	01/23/2015	1632	Frank Rodriguez		66052 · Medicare			
Check	01/23/2015	1632	Frank Rodriguez		66053 · Fed W/H			0 00
Check	02/02/2015	1672	Frank Rodriguez		10000 · BC Bank		817 95	-817 95
Check	02/02/2015	1672	Frank Rodriguez					-817 95
Check	02/02/2015	1672	Frank Rodriguez					-817 95
Check	02/02/2015	1672	Frank Rodriguez	Reimbursement	60300 · Health nsurance	817 95		0 00
Check	02/06/2015	1692	Frank Rodriguez		10000 · BC Bank		2 193 32	-2 193 32
Check	02/06/2015	1692	Frank Rodriguez		66011 · Administrative	2 694 45		501 13
Check	02/06/2015	1692	Frank Rodriguez		66051 · Fica Taxes			
Check	02/06/2015	1692	Frank Rodriguez		66052 · Medicare			
Check	02/06/2015	1692	Frank Rodriguez		66053 · Fed W/H			0 00
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Check	02/06/2015	1693	Frank Rodriguez		66016 · City of Austin	673 61		70 53
Check	02/06/2015	1693	Frank Rodriguez		66051 · Fica Taxes			
Check	02/06/2015	1693	Frank Rodriguez		66052 · Medicare			
Check	02/06/2015	1693	Frank Rodriguez		66053 · Fed W/H			0 00
Check	02/06/2015	1732	Frank Rodriguez		10000 · BC Bank		100 00	-100 00
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Check	02/20/2015	1756	Frank Rodriguez		66011 · Administrative	2 694 45		-2 173 56
Check	02/20/2015	1756	Frank Rodriguez		66051 · Fica Taxes			
Check	02/20/2015	1756	Frank Rodriguez		66052 · Medicare			
Check	02/20/2015	1756	Frank Rodriguez		66053 · Fed W/H			
Check	02/20/2015	1756	Frank Rodriguez		66016 · City of Austin	3 368 05		693 36
Check	02/20/2015	1756	Frank Rodriguez		66251 · COA F CA			
Check	02/20/2015	1756	Frank Rodriguez		66252 · COA Medicare			
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Check	02/27/2015	1794	Frank Rodriguez		10000 · BC Bank		817 95	-817 95
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Check	02/27/2015	1794	Frank Rodriguez					-817 95
Check	02/27/2015	1794	Frank Rodriguez	Reimbursement	60300 · Health nsurance	817 95		0 00
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Check	03/02/2015	1800	Frank Rodriguez		65035 · Promo Materials			-187 41
Check	03/02/2015	1800	Frank Rodriguez		68340 · T & E - Food	187 41		0 00
Check	03/02/2015	1800	Frank Rodriguez		60300 · Health nsurance			0 00
Check	03/06/2015	1813	Frank Rodriguez		10000 · BC Bank		2 674 68	-2 674 68



3:39 PM

01/19/18

Accrual Basis

## Latino HealthCare Forum

## Find Report

January through December 2015

Type	Date	Num	Name	Memo	Account	Debit	Credit	Balance
Check	03/06/2015	1813	Frank Rodriguez		66011 · Administrative	2 694 45		9 77
Check	03/06/2015	1813	Frank Rodriguez		66051 · Fica Taxes			
Check	03/06/2015	1813	Frank Rodriguez		66052 · Medicare			
Check	03/06/2015	1813	Frank Rodriguez		66053 · Fed W/H			
Check	03/06/2015	1813	Frank Rodriguez		66016 · City of Austin	673 61		70 53
Check	03/06/2015	1813	Frank Rodriguez		66251 · COA F CA			
Check	03/06/2015	1813	Frank Rodriguez		66252 · COA Medicare			
Check	03/06/2015	1813	Frank Rodriguez		66253 · COA Fed W/H			
Check	03/20/2015	1843	Frank Rodriguez		10000 · BC Bank		2 674 68	-2 674 68
Check	03/20/2015	1843	Frank Rodriguez		66011 · Administrative	2 694 45		9 77
Check	03/20/2015	1843	Frank Rodriguez		66051 · Fica Taxes			
Check	03/20/2015	1843	Frank Rodriguez		66052 · Medicare			
Check	03/20/2015	1843	Frank Rodriguez		66053 · Fed W/H			
Check	03/20/2015	1843	Frank Rodriguez		66016 · City of Austin	673 61		70 53
Check	03/20/2015	1843	Frank Rodriguez		66251 · COA F CA			
Check	03/20/2015	1843	Frank Rodriguez		66252 · COA Medicare			
Check	03/20/2015	1843	Frank Rodriguez		66253 · COA Fed W/H			
Check	04/03/2015	1871	Frank Rodriguez		10000 · BC Bank		2 674 68	-2 674 68
Check	04/03/2015	1871	Frank Rodriguez		66011 · Administrative	2 694 45		9 77
Check	04/03/2015	1871	Frank Rodriguez		66051 · Fica Taxes			
Check	04/03/2015	1871	Frank Rodriguez		66052 · Medicare			
Check	04/03/2015	1871	Frank Rodriguez		66053 · Fed W/H			
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Check	04/03/2015	1871	Frank Rodriguez		66251 · COA F CA			
Check	04/03/2015	1871	Frank Rodriguez		66252 · COA Medicare			
Check	04/03/2015	1871	Frank Rodriguez		66253 · COA Fed W/H			
Check	04/03/2015	1889	Frank Rodriguez		10000 · BC Bank		817 95	-817 95
Check	04/03/2015	1889	Frank Rodriguez		65035 · Promo Materials			-817 95
Check	04/03/2015	1889	Frank Rodriguez		68340 · T & E - Food			-817 95
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Check	04/13/2015	2051	Frank Rodriguez		10000 · BC Bank		60 00	-60 00
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Check	04/13/2015	2053	Frank Rodriguez		62158 · C/S Huston Tillotson	2 500 00		0 00
Check	04/17/2015	2066	Frank Rodriguez		10000 · BC Bank		2 674 68	-2 674 68
Check	04/17/2015	2066	Frank Rodriguez		66011 · Administrative	2 694 45		9 77
Check	04/17/2015	2066	Frank Rodriguez		66051 · Fica Taxes			
Check	04/17/2015	2066	Frank Rodriguez		66052 · Medicare			
Check	04/17/2015	2066	Frank Rodriguez		66053 · Fed W/H			
Check	04/17/2015	2066	Frank Rodriguez		66016 · City of Austin	673 61		70 53
Check	04/17/2015	2066	Frank Rodriguez		66251 · COA F CA			
Check	04/17/2015	2066	Frank Rodriguez		66252 · COA Medicare			
Check	04/17/2015	2066	Frank Rodriguez		66253 · COA Fed W/H			
Check	04/17/2015	2083	Frank Rodriguez		10000 · BC Bank		2 500 00	-2 500 00
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Check	05/01/2015	2104	Frank Rodriguez		66051 · Fica Taxes			

3:39 PM

01/19/18

Accrual Basis

**Latino HealthCare Forum**  
**Find Report**  
 January through December 2015

Type	Date	Num	Name	Memo	Account	Debit	Credit	Balance
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Check	05/01/2015	2104	Frank Rodriguez		66053 · Fed W/H			
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Check	05/01/2015	2104	Frank Rodriguez		66251 · COA F CA			0 00
Check	05/01/2015	2104	Frank Rodriguez		66252 · COA Medicare			0 00
Check	05/01/2015	2104	Frank Rodriguez		66253 · COA Fed W/H			0 00
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Check	11/30/2015	2528	Frank Rodriguez		62154 · C/S	1 587 25		0 00
Check	11/30/2015	2529	Frank Rodriguez		10000 · BC Bank		713 72	-713 72
Check	11/30/2015	2529	Frank Rodriguez		65050 · Telephone Telecommunications	713 72		0 00
Check	11/30/2015	2530	Frank Rodriguez		10000 · BC Bank		1 051 57	-1 051 57
Check	11/30/2015	2530	Frank Rodriguez		65050 · Telephone Telecommunications	1 051 57		0 00
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Check	12/23/2015	2627	Frank Rodriguez		62154 · C/S	1 500 00		0 00
<b>Jan - Dec 15</b>						<b>54,014.15</b>	<b>54,014.15</b>	<b>0.00</b>

Type: All transactions &amp; middot; Status: All statuses &amp; middot; Delivery method: Any &amp; middot; Name:

Date	Type	No.	Payee	Category	Class	Balance	Total	Status
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12/20/2016	Bill Payment (Check)	4276	Frank Rodriguez			0.00	-1,500.00	applied
12/01/2016	Bill Payment (Check)	4256	Frank Rodriguez			0.00	-1,500.00	applied
11/30/2016	Bill		Frank Rodriguez	Contract Labor	Management & General	0.00	1,500.00	paid
10/28/2016	Bill		Frank Rodriguez	Contract Labor	Management & General	0.00	1,500.00	paid
10/28/2016	Bill Payment (Check)	4226	Frank Rodriguez			0.00	-1,500.00	applied
09/21/2016	Bill	092116	Frank Rodriguez	Contract Labor	Management & General	0.00	1,500.00	paid
09/21/2016	Bill Payment (Check)	4189	Frank Rodriguez			0.00	-1,500.00	applied
08/26/2016	Bill	August 16	Frank Rodriguez	Contract Labor	Management & General	0.00	1,500.00	paid
08/26/2016	Bill Payment (Check)	4163	Frank Rodriguez			0.00	-1,500.00	applied
07/29/2016	Bill	072916	Frank Rodriguez	Contract Labor	Management & General	0.00	1,500.00	paid
07/29/2016	Check	4132	Frank Rodriguez	Contract Labor	Sendero (deleted)	0.00	0.00	void
07/29/2016	Bill Payment (Check)	4132	Frank Rodriguez			0.00	-1,500.00	applied
07/01/2016	Bill Payment (Check)	4116	Frank Rodriguez			0.00	-1,500.00	applied
06/30/2016	Bill	6/29/2016	Frank Rodriguez	Contract Labor	Management & General	0.00	1,500.00	paid
05/26/2016	Bill		Frank Rodriguez	Contract Labor		0.00	1,500.00	paid
05/26/2016	Bill Payment (Check)	4083	Frank Rodriguez			0.00	-1,500.00	applied
04/26/2016	Bill Payment (Check)	4059	Frank Rodriguez			0.00	-1,500.00	applied
04/26/2016	Bill	4059	Frank Rodriguez	Contract Labor		0.00	1,500.00	paid
04/01/2016	Bill Payment (Check)	4029	Frank Rodriguez			0.00	-1,500.00	applied
03/31/2016	Bill		Frank Rodriguez	Contract Labor		0.00	1,500.00	paid
02/29/2016	Bill	022816	Frank Rodriguez	Contract Labor		0.00	1,500.00	paid
02/29/2016	Bill Payment (Check)	4007	Frank Rodriguez			0.00	-1,500.00	applied
01/26/2016	Expenditure	2728	Frank Rodriguez	Contract Labor		0.00	1,500.00	paid
01/26/2016	Expenditure	2727	Frank Rodriguez	Contract Labor		0.00	1,875.00	paid



1/26/2018

Mail - linda@lhcf.org

## No Pay in 2017

Linda Smith

Thu 1/26/2018 12:04 PM

To: Jill Ramirez <jill@lhcf.org>;

Jill, this is an email from Marla to verify that Frank didn't receive any payments from LHCF in 2017.

Linda Smith, MSW  
Chief Administrative Officer  
Latino HealthCare Forum  
512-584-0943

**From:**  
**Sent:** Sunday, January 21, 2018 9:33 AM  
**To:** Linda Smith  
**Cc:** Jill Ramirez  
**Subject:** Re: Other Request

I did not see any payments to Frank Rodriguez in 2017.

---

Marla Koosed

Marla Koosed, CPA  
Sent from my iPhone

<b>Latino HealthCare Forum</b>		88-252-1149	2052
P.O. Box 1271 Austin, Texas 78767 (512) 585-7185		DATE <u>4/13/15</u>	
PAY TO THE ORDER OF	<u>Frank Rodriguez</u>	\$ <u>7,500.00</u>	
	<u>Seven thousand five hundred &amp; 00/100</u>	DOLLARS	
<b>IBC BANK.</b>		Latino HealthCare Forum	
Lubbock, TX	IBC Voice - (956) 723-2929		
MEMO <u>Hendberg</u>			
[REDACTED]		2052	

#2052 4/15/2015 - 16019784 - \$7,500.00

[REDACTED]		○ ENDORSE HERE <i>for Deposit only</i> [REDACTED]
4/14/2015 08:48:30		
[REDACTED]		
S.10056		

#2052 4/15/2015 - 16019784 - \$7,500.00



<b>Latino HealthCare Forum</b>		88-252-1149	2053
P.O. Box 1271 Austin, Texas 78767 (512) 585-7185		DATE <u>4/13/15</u>	
PAY TO THE ORDER OF	<u>Frank Rodriguez</u>	<u>\$2,500.00</u>	
<u>Two thousand five hundred &amp; 00/100</u>		DOLLARS	
<b>IBC BANK.</b>		Latino HealthCare Forum	
Laredo, TX	IBC Voice - (956) 723-2929		
<u>HH</u>		<u>[Signature]</u>	
[Redacted]		2053	

#2053 4/15/2015 - 16019783 - \$2,500.00

[Redacted]		○ ENDORSE HERE <u>for deposit only</u> [Redacted]
4/14/2015 08:48:29		
[Redacted]		
DRIPPING SPRINGS 10056		

#2053 4/15/2015 - 16019783 - \$2,500.00

<b>Latino HealthCare Forum</b> P.O. Box 1271 Austin, Texas 78767 (512) 585-7185		88-252-1149 2051
PAY TO THE ORDER OF <u>Frank Rodriguez</u>		DATE <u>4/13/15</u>
<u>Sixty &amp; 00/100</u>		\$ <u>60.00</u>
<b>IBC BANK.</b> TX IBC Voice • (512) 585-7185		DOLLARS  Security Features: See Back
MEMO <u>Reimburse</u>		Latino HealthCare Forum
		2051

#2051 4/15/2015 - 16019785 - \$60.00

	0 <b>ENTER HERE</b> <i>For Deposit only</i>
4/14/2015 08:48:31	
DRIPPING SPRINGS 10056	

#2051 4/15/2015 - 16019785 - \$60.00

Latino HealthCare Forum

88-252-1149

2083

P.O. Box 1271  
Austin, Texas 78767  
(512) 585-7185

DATE

4/17/15

PAY TO THE  
ORDER OF

Frank Rodriguez

\$2500.00

Two thousand five hundred & 00/100

DOLLARS

Security Features  
Visible on Back

 **IBC BANK.**

Laredo, TX

IBC Voice - (956) 723-2929

Latino HealthCare Forum

*[Signature]*

MEMO

1070 St. Dennis

2083

Latino HealthCare Forum

P.O. Box 1271  
Austin, Texas 78767  
(512) 585-7185

88-252-1149

2506

DATE

10/26/15

PAY TO THE  
ORDER OF

Frank Rodriguez

\$1,587.25

One thousand five hundred eighty-seven and 25/100 DOLLARS

 **IBC BANK.**

Laredo, TX

IBC Voice - (956) 723-2929

Latino HealthCare Forum

MEMO

consulting



MP

2506

Latino HealthCare Forum

P.O. Box 1271  
Austin, Texas 78767  
(512) 585-7185

88-252-1149

2528

DATE

11/30/15

PAY TO THE  
ORDER OF

Frank Rodriguez

\$1,587.25

One thousand five hundred eighty-seven & 25/100

DOLLARS



**IBC BANK.**

Laredo, TX

IBC Voice - (956) 723-2929

Latino HealthCare Forum

MEMO

Grant Heichling

Linda Smith

MP

2528



Latino HealthCare Forum  
P.O. Box 1271  
Austin, Texas 78767  
(512) 585-7185

88-252-1149

2627

DATE 12/23/15

PAY TO THE ORDER OF Frank Rodriguez \$ 1,500.00

One thousand five hundred DOLLARS

**IBC BANK.**  
Laredo, TX IBC Voice • (956) 723-2929

MEMO Consultant Joe Romo

# 2627

#2627 12/28/2015 - 16001807 - \$1,500.00

END HERE

#2627 12/28/2015 - 16001807 - \$1,500.00

**CONSULTING AGREEMENT WITH FRANK RODRIGUEZ**

This Agreement is made this 21st day of December, 2015, by and between Latino HealthCare Forum (the "Company"), a non-profit corporation organized and existing under the laws of the Texas and Frank Rodriguez (the "Consultant") operating as an independent contractor.

WHEREAS, the Consultant, as an employee of the City of Austin is permitted to perform limited consulting services subject to the terms of Consultant's employment relationship with the City of Austin and the applicable policies and procedures of the City of Austin including Chapter 2-7, Ethics and Financial Disclosure.

WHEREAS, the Company desires that the Consultant provide advice and assistance to the Latino HealthCare Forum in his area of expertise; and

WHEREAS, the Consultant previously has provided consultant services to the Latino HealthCare Forum and Consultant wishes to convert monies owed for consulting services into this agreement;

NOW, THEREFORE, the Company and the Consultant hereby agree as follows:

1. Consulting Services

(a) Subject to the terms and conditions of this Agreement, the Company hereby retains Consultant as a consultant and technical advisor to perform the consulting services specifically set out in Exhibit A attached to this Agreement and made a part hereof (hereafter referred to as the "Services"), as said Exhibit may be amended in writing from time to time, and Consultant agrees, subject to the terms and conditions of this Agreement, render such Services during the term of this Agreement. Such services shall be limited to the area of expertise described in Exhibit A (the "Field"), as amended in writing from time to time. Consultant shall render services hereunder at such times and places as shall be mutually agreed by Company and Consultant. Consultant's commitment hereunder shall not impact his full-time position working for the City of Austin.

(b) It is understood that the purpose of the Consulting is to provide periodic review and advice relevant to certain Company matters, and that neither Consultant nor Company will benefit if Consultant provides inaccurate advice or commentary based on insufficient information. To that end, Company shall provide Consultant, in advance of meetings, with accurate, unbiased and sufficient information for him to review the subject matter thereof, and shall promptly provide further information that Consultant reasonably deems relevant to forming any pertinent conclusions relevant to the matter for discussion. It is expressly understood that Consultant has no fiduciary obligation to Company, but instead a contractual one described by the terms of this Agreement; that Consultant's role is to provide independent advice uninfluenced by commercial concerns; and that service as a Consultant does not require him to be an advocate for Company



or its services in any forum, public or private. Company expressly agrees that under no circumstances will this role be compromised or inaccurately represented.

## 2. Compensation and reimbursement.

In consideration of the services to be provided by Consultant to the Company hereunder, the Company shall pay to Consultant \$75 per hour. All work will be pre-authorized by the Company CEO/President. In addition, the Company shall reimburse Consultant for reasonable travel and other expenses Consultant incurs in connection with performing the Services. To obtain reimbursement, Consultant shall submit to the CEO/President of the Company, or her designee, an invoice describing services rendered and expenses incurred under this Agreement. Company shall provide any documentation requirements and any travel policy restrictions to consultant in writing in advance, or be foreclosed from relying on such requirements and restrictions to deny reimbursement. The Company shall pay to Consultant invoiced amounts within thirty (30) days after the date of invoice. Company will accommodate Consultant's request to arrange, at Company's expense, for all of Consultant's travel and accommodations in connection with such meetings if they occur outside the Austin metropolitan area.

## 3. Independent contractor status.

The parties agree that this Agreement creates an independent contractor relationship, not an employment relationship. The Consultant acknowledges and agrees that the Company will not provide the Consultant with any employee benefits, including without limitation any employee stock purchase plan, social security, unemployment, medical, or pension payments, and that income tax withholding is Consultant's responsibility. In addition, the parties acknowledge that neither party has, or shall be deemed to have, the authority to bind the other party.

## 4. Indemnification

Notwithstanding any other term of this Agreement, Company shall indemnify, defend and hold harmless Consultant, against any claim, liability, cost, damage, deficiency, loss, expense or obligation of any kind or nature (including without limitation reasonable attorneys' fees and other costs and expenses of litigation) incurred in connection with any claims, suits, actions, demands or judgments arising out of this Agreement (including, but not limited to, actions in the form of tort, warranty, or strict liability).

## 5. Intellectual Property

(a) Consultant and Company understand and acknowledge that Company will be providing access to proprietary and valuable information that Consultant might otherwise not receive. In addition, those parties also understand that should Consultant, in the course of providing Services, invent or participate in inventing modifications or improvements to Company technology, the Consultant will work with the Company to reasonably seek to secure such improvements for its own use and practice.



(b) In order to enter into this Agreement with Consultant, Company therefore further acknowledges and agrees that in the event that any conflict should arise between the duties set forth in this Agreement and Consultant's obligations to the City of Austin, Consultant shall necessarily notify the Latino HealthCare Forum immediately, and that Consultant's obligations to the City of Austin shall take precedence over the terms of this Agreement.

(c) The Consultant acknowledges that the Company does not desire to acquire any trade secrets, know-how, confidential information, or other intellectual property that the Consultant may have acquired from or developed for any third party, including the City of Austin.

#### 6. Confidential Information

(a) The parties acknowledge that in connection with Consultant's Services, the Company may disclose to Consultant confidential and proprietary information and trade secrets of the Company, and that Consultant may also create such information within the scope and in the course of performing the Services (hereinafter, subject to the exceptions below, "Company Confidential Information"). Such information may take the form of, for example: evidence based data developed by the Company; the Company's know-how; the Company's strategies and processes; the Company's marketing plans; the Company's past, present and future business plans; or the Company's forecasts of revenues and sales. Notwithstanding the above, the Company acknowledges and agrees that none of the information described in this Paragraph 6 (except Confidential Information created by Consultant) will be considered Company Confidential Information for purposes of this Agreement, unless the information is disclosed to Consultant by the Company in writing and is clearly marked as confidential, or, where verbally disclosed to Consultant by the Company, is followed within thirty (30) days of such verbal disclosure by a writing from the Company confirming such disclosure and indicating that such disclosure is confidential.

(b) Subject to the terms and conditions of this Agreement, Consultant hereby agrees that during the term of this Agreement and for a period of three (3) years thereafter: (i) Consultant shall not publicly divulge, disseminate, publish or otherwise disclose any Company Confidential Information without the Company's prior written consent, which consent shall not be unreasonably withheld; and (ii) Consultant shall not use any such Company Confidential Information for any purposes. Notwithstanding the above, the Company and Consultant acknowledge and agree that the obligations set out in this Paragraph 6 shall not apply to any portion of Company Confidential Information which:

- (i) Was at the time of disclosure to Consultant part of the public domain by publication or otherwise; or
- (ii) Became part of the public domain after disclosure to Consultant by publication or otherwise, except by breach of this Agreement; or
- (iii) Was already properly and lawfully in Consultant's possession at the time it was received from the Company; or



- (iv) Was or is lawfully received by Consultant from a third party who was under no obligation of confidentiality with respect thereto; or
  - (v) Was or is independently developed by Consultant without reference to Company Confidential Information;
  - (vi) Is required to be disclosed by law, regulation or judicial or administrative process; or
  - (vii) In the case of information prepared by Consultant, is encompassed within and derived from Consultant's academic and professional commitments to the City of Austin, and/or any other consulting or research engagement.
- (c) Notwithstanding any other term of this Agreement, the Company agrees that it shall not disclose to Consultant any information which is Company Confidential Information: (i) except to the extent necessary for Consultant to fulfill Consultant's obligations to the Company under this Agreement; or (ii) unless Consultant has agreed in writing to accept such disclosure. All other information and communications between the Company and Consultant shall be deemed to be provided to Consultant by the Company on a non-confidential basis. The Company also agrees that Consultant may share the terms of this agreement on a confidential basis with its employers, legal and financial advisors, insurers and other third parties who have a legitimate need to know about them, and that Consultant may disclose the existence and general nature of his consulting arrangement with the Company with the City of Austin. The Company further agrees that Consultant shall not be liable to the Company or to any third party claiming by or through the Company for any unauthorized disclosure or use of Company Confidential Information that occurs despite Consultant's compliance with Consultant's obligations under this Agreement.
- (d) Upon termination of the Agreement, or any other termination of Consultant's services for the Company, all records, information, files, notebooks and other documents pertaining to any Confidential Information of the Company, whether prepared by Consultant or others, and any material, specimens, equipment, tools or other devices owned by the Company then in Consultant's possession, and all copies of any documents, shall be returned to the Company, except Consultant may keep one copy of all documents for his or her files (which copy shall be subject to the confidentiality and non-use requirements set out in this Agreement).

## 7. Term

- (a) This Agreement shall remain in effect for a term of one (1) year commencing on the date first written above, unless sooner terminated as hereinafter provided, or unless extended by agreement of the parties.
- (b) This Agreement may be terminated by either party, with or without cause, upon thirty (30) days prior written notice to the other; provided that if Consultant terminates this Agreement, Consultant shall, in accordance with the terms and conditions hereof, nevertheless wind up in an orderly fashion assignments for the Company which Consultant began prior to the date of notice of termination hereunder.



(c) Upon termination of this Agreement for any reason, Consultant shall be entitled to receive such compensation and reimbursement, if any, accrued under the terms of this Agreement, but unpaid, as of the date Consultant ceases work under this Agreement.

#### 8. Other Agreements

(a) The Consultant shall not be expected to use any City of Austin owned facilities or equipment owned or administered in the performance of the Services.

(b) Company shall not use Consultant's name or depiction, or the name, logos, trademarks, in any promotional, advertising or marketing literature, or in any other way without the prior written consent of the company. Company may accurately state that Consultant is a consultant to Company upon consent of the Consultant, and list his or her professional degrees and titles.

(c) No alteration or modification of this Agreement, including Exhibit A hereto, shall be valid unless made in writing and executed by Consultant and the Company.

(d) The Consultant and Company mutually represent that to the best of their knowledge neither currently has any agreement with, or any other obligation to, any third party that conflicts with the terms of this Agreement. The parties agree that they shall not intentionally and knowingly enter into any such agreement.

(e) The laws of the State of Texas shall govern this Agreement.

(f) Any notice or other communication by one party to the other hereunder shall be in writing and shall be given, and be deemed to have been given, if either hand delivered or mailed, postage prepaid, certified mail (return receipt requested), or transmitted by facsimile, addressed as follows:

If to Consultant:

Frank Rodriguez  
P.O. Box 1271  
Austin, Texas 78767

If to the Company:

Jill Ramirez  
6601 Felix Ave.  
Austin, Texas 78741

(g) The parties acknowledge that the Services are personal in nature, and that from Consultant's perspective the specific identity of the Company, including its leadership, corporate culture, staff and reputation, is material to Consultant's choice to enter into this Agreement.

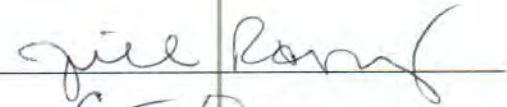
Therefore the parties expressly agree that no party may assign this Agreement without the written consent of the other.

IN WITNESS WHEREOF, the parties have executed this Agreement on the dates indicated below.

  
\_\_\_\_\_  
Consultant

12/21/15  
\_\_\_\_\_  
Date

**Latino HealthCare Forum**

By:   
\_\_\_\_\_

Title: CEO  
\_\_\_\_\_

Date: 12-21-15  
\_\_\_\_\_



## **Exhibit A- Description of Consulting Activities**

### **Expertise**

The consultant has expertise in the following areas:

- **Funding Strategy** – Provide support and resources that can help organizations develop funding strategies that increase sustainability and impact.
- **Leadership Effectiveness** – Provide services, tools, and insights that provide advice to CEOs and senior team leaders who aim to become more effective nonprofit leaders.
- **Social Development** – Provide development work that aims to improve the lives of disadvantaged populations by helping social sectors accelerate their development and maximize the impact of their programs.
- **Revitalizing Communities** - Use the consultant's experience in strategy and management to support communities as they work to achieve the successes their residents envision for themselves, and individuals, and families, as they pursue social and economic mobility.
- **Strategy Development** – Develop strategies about getting critical resources right – allocating time, talent, and dollars to the activities that have the greatest impact.
- **Organizational Effectiveness** – Assist the organization in becoming a highly effective organization by building strengths across five areas – leadership, decision-making and structure, people, work processes and systems and culture.
- **Performance Measurement** – Assist the organization in designing measurement strategies that promote learning and continuous improvement.
- **Public Health and Healthcare** – Expertise in improving the health and healthcare for the most vulnerable and disadvantaged populations.

### **Nature of Services**

- **Strategic Services** – Independent, objective, standards driven evaluations which are comprised of assessment, optimization, and quality assurance services. Services will focus on what the LHCF intends to accomplish and how to direct your resources toward achieving those goals. The consultant will work in collaboration with you create/support a strategic plan that can guide your work. The consultant will identify a set of performance indicators, and a supporting performance dashboard, so you can easily monitor progress toward goals.
- **Financial Advisory Services** – Assist in raising capital to meet LHCF business objectives through private and non-private sources. The consultant will assess and recommend revenue strategies that help create a more sustainable business model.
- **Operations** – The consultant will ensure that the LHCF culture, structure and operational practices create an environment where staff are engaged in the mission and empowered to be both efficient and effective. The consultant can lead the LHCF team through an in-depth assessment of organizational structure and culture to help ensure the team is

aligned and engaged. The consultant can identify the right mix of systems and processes that empower the team to succeed.

- Leadership and Organizational Transitions – As the LHCF grows and develops the consultant will assist in turning the time of organizational change into one of opportunity and progress. The consultant can guide the transition process by assessing and recommending necessary operations, systems, and organizational changes to accommodate the stage of LHCF's development.

6601 Felix Ave.  
Austin, Texas 78741

(g) The parties acknowledge that the Services are personal in nature, and that from Consultant's perspective the specific identity of the Company, including its leadership, corporate culture, staff and reputation, is material to Consultant's choice to enter into this Agreement.

Therefore the parties expressly agree that no party may assign this Agreement without the written consent of the other.

IN WITNESS WHEREOF, the parties have executed this Agreement on the dates indicated below.

  
\_\_\_\_\_  
Consultant

12/21/15  
\_\_\_\_\_  
Date

**Latino HealthCare Forum**

By: Jill Rannin

Title: CEO

Date: 12-21-15



## INTERVIEW MEMORANDUM

<b>INTERVIEWEE(S)</b>	Jill Ramirez, Job Title, CEO, Latino Healthcare Forum		
<b>CAIU STAFF</b>	Nathan Wiebe, Chief of Investigations (City of Austin), Jared Jordan (HSSK), Travis Casner (HSSK)		
<b>LOCATION</b>	Latino HealthCare Forum	<b>Date/Time</b>	01-09-2018

On January 9, 2018, Jared Jordan (HSSK) and Travis Casner (HSSK) conducted a witness interview with Jill Ramirez, CEO, Latino HealthCare Forum (LHCF), at the offices of the LHCF. The purpose was to interview Ramirez about the allegations of a conflict of interest against Frank Rodriguez (former LHCF CEO/Executive Director). The following was determined:

## CONCLUSION:

- Ramirez is one of the founders of the LHCF. In 2010, her desire to educate the Latino community about the Affordable Care Act (ACA) led to the creation of the LHCF.
- Linda Smith (LHCF, Chief Administrative Officer and [REDACTED]) has a master's degree in social work and helped to develop the LHCF.
- Rodriguez leaving to work in the mayor's office in 2015 left "a void" in the LHCF, and Ramirez felt the need for a consulting relationship with Rodriguez.
- She thinks there may be formal agreements in place regarding Rodriguez's consulting services from 2015 to 2017, and she will try to locate those for the investigators.
- According to the investigators, Rodriguez earned approximately \$17,000.00 in contract labor from the LHCF in 2015 along with \$6,000.00 in expenses.
- The individuals in charge of LHCF's finances are Marla Koosed (CPA) and Linda Smith.
- Ramirez recalled that Rodriguez's consulting work was for new grants from other sources, not the City.
- The investigators identified Rodriguez's efforts in helping the LHCF acquire various City contracts such as the ACA or Restore Rundberg projects. Ramirez said that was not a part of his consulting agreement.
- The LHCF is in its last year of the Rundberg contract, so Ramirez does not think that Rodriguez's assistance was needed after he left the LHCF.
- She said the mayor's office hired Rodriguez so he could be the liaison between the City and "the community." Rodriguez helped other organizations in addition to the LHCF.

- The investigators identified Rodriguez meeting with Hector Torres on a bi-weekly basis in 2015, 2016. She said the meetings may have been about developing an app for Rundberg's community resources.
- Ramirez does not know if the contract with Sendero Health Plans is annual and whether it has to be re-visited.
- Ramirez said she never felt pressure to be in a business relationship with Rodriguez after he left for the mayor's office.

## DETAIL:

### BACKGROUND

Ramirez is one of the founders of the LHCF. Prior to the LHCF, Ramirez worked as a Speech Pathologist for AISD. In 2010, her desire to educate the Latino community about the Affordable Care Act (ACA) led to the creation of the LHCF. She subsequently wrote the training curriculum for the LHCF. She became the LHCF's Community Director and then stepped in to fill the CEO role after Rodriguez left to work in the mayor's office.

In the LHCF's beginning, Ramirez worked without pay while she developed the curriculum and trained the first class of community health workers. Linda Smith (LHCF, Chief Administrative Officer [REDACTED]) has a master's degree in social work and helped to develop the LHCF. Smith earned approximately \$75,000.00 in 2015. Ramirez will check to see how much Smith was paid in 2016 and 2017. Rodriguez's son was never an LHCF employee. Ramirez recalled an instance when one of Rodriguez's daughters did some outreach for the LHCF during open enrollment for a short time.

The number of LHCF community health workers depends on the particular program. The LHCF had 12 trained full-time Navigators for the ACA before getting de-funded and having to reduce that number. The LHCF worked through 2-1-1 as a subcontractor and also did some ACA outreach work through Sendero Health Plans. The LHCF became an ACA Navigator in FY 2015-2016 when Rodriguez was CEO.

### FRANK RODRIGUEZ'S CONTINUED INVOLVMENT WITH LHCF

Ramirez described Rodriguez as an expert in health and healthcare. Rodriguez leaving to work in the mayor's office in 2015 left "a void" in the LHCF, and Ramirez felt the need for a consulting relationship with Rodriguez. Ramirez said Rodriguez may have participated in round table discussions and task forces into 2016. She thinks there may be formal agreements in place regarding Rodriguez's consulting services from 2015 to 2017, and she will try to locate those for the investigators. The LHCF Board approves all contracts, and Rodriguez's consulting contract would have been approved by the Board. This would be reflected in the Board meeting minutes. The Board meets four times per year, every three months.

According to the investigators, Rodriguez earned approximately \$17,000.00 in contract labor from the LHCF in 2015 along with \$6,000.00 in expenses. As part of a segregation of duties, Ramirez is not involved with the LHCF's finances and is unsure of LHCF payments to Rodriguez.

The individuals in charge of LHCF's finances are Marla Koosed (CPA) and Linda Smith. Ramirez writes checks for bills and works with Koosed and Smith to authorize payments using Quick Books. Ramirez will check to see if Rodriguez received payments from the LHCF in 2016 and 2017. She is "sure" that Rodriguez was submitting invoices to the LHCF for his consulting work. Koosed could verify payments made to Rodriguez from 2015 to 2017.

**FRANK RODRIGUEZ’S CONSULTING WORK**

Ramirez recalled that most of Rodriguez’s work was grant writing. Ramirez and Sal Valdez (former Chief Operating Officer) were LHCF’s main contacts with Rodriguez when he was consulting for LHCF. Ramirez recalled that Rodriguez’s consulting work was for new grants from other sources, not the City.

The investigators identified a LHCF press release previously edited by Rodriguez. Isabel Lopez-Aguilar (LHCF, Program Coordinator) wrote the LHCF’s press releases, but only had about two years of college. As a result, Rodriguez looked over the press releases for accuracy.

The investigators identified Rodriguez’s efforts in helping the LHCF acquire various City contracts such as the ACA or Restore Rundberg projects. Ramirez said that was not a part of his consulting agreement. She said when she became CEO, the LHCF already had the ACA contract, which was supposed to be a three year term. The LHCF is in its last year of the Rundberg contract, so Ramirez does not think that Rodriguez’s assistance was needed after he left the LHCF. She said the LHCF still had to go to the City Council for approval of a continuing contract, but she does not think Rodriguez had anything to do with that. Once Rodriguez was at the mayor’s office, he could not do that.

The investigators identified Rodriguez’s efforts in helping to facilitate meetings between the LHCF and City personnel or outside personnel. Ramirez said Rodriguez’s role with the mayor’s office was to help Latino organizations navigate the City bureaucracy. She said the mayor’s office hired Rodriguez so he could be the liaison between the City and “the community.” Rodriguez helped other organizations in addition to the LHCF.

Ramirez said Rodriguez never represented the LHCF at a community event because he is not working at the LHCF. She said he would have asked her to go and represent the LHCF.

The investigators identified an instance in late 2015, early 2016 when Rodriguez told an LHCF employee to stop sending emails to his City account and send them to his personal account. Ramirez did not know why he would have done this, but to ask the employee or Rodriguez.

The investigators identified Rodriguez meeting with Hector Torres on a bi-weekly basis in 2015, 2016. Ramirez said Torres used to be their “technology guy,” and there was a hack-a-thon for IBM, which involved a lot of meetings. She said the meetings may have been about developing an app for Rundberg’s community resources. This could’ve been a part of Rodriguez’s consulting agreement after he went to work at the mayor’s office.

The investigators identified references to EmPoder. Ramirez said this was when Rodriguez was still at the LHCF. She said EmPoder was more of a business model than a traditional non-profit. It was an effort to become less dependent on government. Ramirez said nothing is happening with EmPoder at the moment. She does not know if Rodriguez is still working with EmPoder.

Ramirez does not know if the contract with Sendero Health Plans is annual and whether it has to be re-visited. The contract was in place when she became CEO, and she thinks the LHCF completed that contract year. The investigators identified regular meetings between Rodriguez and the Sendero CEO, but Ramirez does not know if it was related to the LHCF.

Ramirez said she never felt pressure to be in a business relationship with Rodriguez after he left for the mayor’s office. She said to look at the agenda of the person that made this complaint against Rodriguez.

January 31, 2018

Mr. Nathan Wiebe  
Chief of Investigations  
City of Austin Auditor  
200 West Cesar Chavez St.  
Suite 200  
Austin, Texas 78701

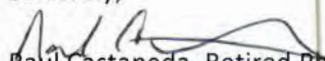
Dear Mr. Wiebe,

You requested verification that the Latino HealthCare Forum (LHCF) retained Mr. Frank Rodriguez for consulting services for the LHCF. In September 2015 the LHCF board felt that in order to have a smooth transition with Mr. Rodriguez's departure to work for the City of Austin, the LHCF board authorized the LHCF CEO to request that Mr. Rodriguez provide consulting services specifically for business and strategic planning and grants development. Mr. Rodriguez is a noted health/healthcare expert especially as it relates to the underserved and marginalized population. He was a founder of the LHCF and his continued service for a transition period would ensure that the communities of color with significant health disparities and an uninsured rate of over 30% especially for Latinos would benefit from his expertise.

The CEO has authority under the LCHF's board decision making to contract in an amount under \$25,000 per contract. Mr. Rodriguez agreed to provide consulting for a transition period for said consulting services but that no services could be provided for City of Austin contracts as well as paid with City of Austin funds. I understand this has been verified through the City's Health and Human Services Department. The agreement was essentially for a year. Mr. Rodriguez ended his services in 2016 and did not provide any consulting services in 2017 and to date.

If you have any questions, please do not hesitate to contact me at 512-484-6473. Thank you.

Sincerely,



Raul Castaneda, Retired Pharmacist  
Board Chair  
Latino HealthCare Forum



**From:** Frank Rodriguez  
**To:** Mayer Adler  
**Cc:** Cortez, John Michael  
**Subject:** Fwd: Latino HealthCare Forum Unveils Community Innovation Zone & CM Casar Thanks Cap Metro for 1st Approved Recommendation  
**Date:** Thursday, May 28, 2015 12:18:56 PM  
**Attachments:** Casar Statement Rundberg Community Innovation Zone 052815.pdf

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This is the project I started while at the LHCF. Looks like Greg has signed on. It was designed to be a multi-faceted approach and could be a good model for future place-based, zip-code focused projects in Council districts. I'm going to the meeting tonight. FMR

Frank Rodriguez  
 P.O. Box 1271  
 Austin Texas 78767  
 [REDACTED]

**Confidentiality Notice:** The information contained in this email and any attachments is intended only for the recipient[s] listed above and may be privileged and confidential. Any dissemination, copying, or use of or reliance upon such information by or to anyone other than the recipient[s] listed above is prohibited. If you have received this message in error, please notify the sender immediately at the email address above and destroy any and all copies of this message.

Begin forwarded message:

**From:** Chelsea Brass [REDACTED]  
**Date:** May 28, 2015 at 11:07:38 AM CDT  
**To:** [REDACTED]  
**Subject:** Latino HealthCare Forum Unveils Community Innovation Zone & CM Casar Thanks Cap Metro for 1st Approved Recommendation

Rundberg area residents plan to implement a new Community Innovation Zone by kickstarting new initiatives with a transit corridor, technology, and community health workers to support healthy communities. Please see attached press release regarding tonight's proposal presentation to the Rundberg community, as well as Council Member Greg Casar's comments supporting the community innovation zone and the plan's 1st approved recommendation of Capital Metro increasing bus frequency. Press release language is in body of email and attached PDF.

Public presentation: Tonight at 7pm @ Jaime Padron Elementary.

Please feel free to reach out with any questions.

Chelsea Brass  
 Chief Strategy Officer

Latino HealthCare Forum

[REDACTED]  
(512) 626-3580

FOR IMMEDIATE RELEASE:

CONTACT: Chelsea Brass

512-626-3580 [REDACTED]

**Implementation Plan for Rundberg Area's "Community Innovation Zone"**

**1<sup>st</sup> Recommendation Passed: Capital Metro Plans to Increase Service**

AUSTIN - Rundberg area residents plan to implement a new Community Innovation Zone by kickstarting new initiatives with a transit corridor, technology, and community health workers to support healthy communities. The Latino HealthCare Forum will be unveiling a set of recommendations as part of a community, place-based initiative to improve population health, a proposal to be presented tonight at 7pm at Jaime Padron Elementary.

The Restore Rundberg team selected the Latino Healthcare Forum, a community-based organization, as the entity to complete a local health assessment and provide options moving forward to improve the health and well-being of the area, the proposed area to be called the "Rundberg Community Innovation Zone".

The Rundberg Community Innovation Zone will focus on the 1.5 miles from the North Austin

YMCA & Little Walnut Creek Library down to Dobie Middle School & the City of Austin's Gus Garcia Recreation Center. This zone will be a focus of services, transportation, and a home for local Community Health Workers to work with the diverse population in the area who speak a variety of different languages including Arabic, Burmese, Spanish, Vietnamese, and at least 20 additional languages in the Rundberg area.

"Rundberg Lane has the opportunity to become an even better community-oriented transit corridor where both residents and small businesses thrive," says District 4 Council Member Greg Casar. "We are thrilled that Capital Metro has

already agreed to one of the proposal's recommendations—increasing the frequency of buses on Rundberg Lane. Capital Metro's rapid response to the community's concerns shows their commitment to our area."

Previously, the only bus that services Rundberg Lane, Route 325, ran every 30 minutes. Upon advocacy to increase access and this project's proposal to double frequency, Capital Metro planners agreed to increase route frequency to 15-18 minutes.

Other recommendations include the feasibility analysis of a dedicated Metro Access route from Lamar & Rundberg; the promotion of a local workforce dedicated to community health to provide jobs in the area and help residents access health services, address food access issues, and promote healthy habits; technology that includes language translation, personal health information, and a community portal to connect residents to services and amenities.

Community advocates state for this proposal to be successful, it will need affordable housing to be sustained in the area. "We want to make sure that the residents who make North Central Austin vibrant and diverse are able to stay here, even as the area changes and grows," states Council Member Casar. "We're working with housing advocates and private partners to guarantee that there is sufficient affordable housing for the residents up and down the Rundberg corridor. The City must take proactive steps to ensure that hardworking families of all income levels have a place to live. I support this initiative and will work hard to guarantee the Rundberg Community Innovation Zone's success."

The public is welcome to attend today's proposal at 7pm at Jaime Padron Elementary.

###

**From:** Frank Rodriguez  
**To:** Rodriguez, Frank  
**Subject:** Fwd: Draft Summary of Rundberg Proposal  
**Date:** Thursday, August 06, 2015 10:18:05 AM  
**Attachments:** Rundberg Proposal Greg 080515 1031am.docx

---

Frank Rodriguez  
P.O. Box 1271  
Austin Texas 78767  
[REDACTED]

Confidentiality Notice: The information contained in this email and any attachments is intended only for the recipient[s] listed above and may be privileged and confidential. Any dissemination, copying, or use of or reliance upon such information by or to anyone other than the recipient[s] listed above is prohibited. If you have received this message in error, please notify the sender immediately at the email address above and destroy any and all copies of this message.

Begin forwarded message:


**From:** Linda Smith <linda@latinohealthcareforum.org>  
**Date:** August 5, 2015 at 2:40:55 PM CDT  
**To:** Chelsea Brass <chelsea@lhcf.org>, sal@lhcf.org, Jill Ramirez <jill@latinohealthcareforum.org>, "<linda@lhcf.org>" <linda@lhcf.org>  
**Cc:** Frank Rodriguez [REDACTED]  
**Subject:** Re: Draft Summary of Rundberg Proposal  
**Reply-To:** linda@latinohealthcareforum.org

Here's my edits hopefully to make the proposal super clear to Greg.

Linda Smith, MSW  
Human Resource Manager  
Latino HealthCare Forum  
855.373.5423  
512.584.0943  
<http://www.latinohealthcareforum.org>  
On 8/5/2015 10:43 AM, Chelsea Brass wrote:

I am being asked to provide an extended proposal for the mayor, but I think this 2 page version is sufficient for Greg, along with the two funding scenarios for us to review before sending to him today.







Please let me know if this version looks OK.

Thank you!

Chelsea



## History & Background of the Latino HealthCare Forum Rundberg Project

The Rundberg/North Lamar area ~~area~~ is amazingly diverse and called the international district for good reason. You can find a halal shop next to a panaderia next to the best pho this side of the Mississippi. There are also many needs in this area. Over half of the children in 78753 are on food stamps. There are some of the highest concentration of undocumented immigrants and refugees in this area of town compared to citywide Austin. The assets are high, but so are the needs. Restore Rundberg, a multi-million dollar grant from the Department of Justice, lists community health as a priority issue.

Concurrently, there are many planning efforts underway. The City of Austin is in the CHIP (Community Health Improvement Planning) phase of a continual effort to improve population health city- and county-wide. Health disparities due to race, gender, sexual orientation, and class have all led to a push to study a more localized, down to zip code or census block level, to understand what is happening below the surface of the aggregated figures of city and county-level data.

The Restore Rundberg team approached the Latino HealthCare Forum (LHCF) to complete a local Rundberg CHA (Community Health Assessment). This team approached LHCF due to their work on Central Health's Southeast Health and Wellness Center (SEHWC). The SEHWC's engagement process at the local level during its development is a good example of quantitative and qualitative research to improve the outcomes and success of the new center. LHCF applied many of the same processes and lessons learned to complete the CHA (Community Health Assessment) in Rundberg.

## Overview: Community Health Assessment

With the Restore Rundberg team's support, the Latino HealthCare Forum was funded by the City of Austin Health and Human Services Department with leveraged funds from the St. David's Foundation to complete an assessment. The Community Health Assessment completed in Rundberg had five components:

- 1) Quantitative & Demographic Analysis
- 2) Qualitative Research & Surveys
- 3) Community Outreach & Social Media
- 4) Community Asset Mapping & Stakeholder Analysis
- 5) Recommendations for Future Planning & Prioritized Efforts

## Results: Community Health Assessment

As a result of this thorough demographic and clinical outcome analysis, public surveys, community engagement, community-based participatory research, and engagement, these priority areas were identified:

- Clinical Conditions & Chronic Disease
- Access Issues & Language Obstacles
- Food Access & Physical Activity

## Next PhaseSteps: Community Health Improvement

~~The Though the Community Health Improvement Plan is the next phase,~~ LHCF was asked to provide recommendations of priority areas to address in the next phase, ~~(in the scenario if the LHCF was not hired to conduct the CHIP, then this would be an initial roadmap).~~

For this initiative to be successful, it must include more than one institutional entity. These recommendations can work in conjunction with future and current efforts underway in the Rundberg area. The Restore Rundberg team has been involved every step of the process; concurrently this team is planning efforts in the same proposed corridor, named the Rundberg Educational Advancement District; we see every reason to work together to target our resources to this one area.

Additionally, the City of Austin highlighted disparities in the areas of chronic disease and certain health outcomes; staff noted that this assessment complements their CHA/CHIP planning efforts as it confirmed their projections of disparities and priority areas. Health department staff has also been involved every step of the way, offering technical assistance, as well as coordinating a Rundberg Alignment Workgroup, dedicated to preventing any duplicative efforts, keeping each other aligned and informed.

The initial recommendations of the Rundberg Community Health Assessment entail four activity areas to work in conjunction towards an effort to focus on one initial area of Rundberg, and future plans to extend in the future within Rundberg and beyond to replicate this place-based model of community health improvement. The four areas:

- 1) **Direct Service & Workforce Development Pilot: Community Health Workers/Promotoras** to be located and to work in the area to provide an array of peer support and navigation services. *(See budget for various funding scenarios?..)*
- 2) **Technology: Language and Resource Directory Mobile Applications** to support the CHWs — to help others overcome language obstacles & the digital divide.
- 3) **Planning: Community Innovation Zone**, to be a place-based initiative, a corridor of services and planning efforts for services such as transportation, police, clinics, to be located in the heart of Rundberg.
- 4) **Planning: 2<sup>nd</sup> Phase: Community Health Improvement Plan (CHIP)** to continue the work of the **Community Health Assessment (CHA)**, but include advisory workgroups made up of community members to address next steps of improvement planning.

To this end, we will be requesting funding for the areas of improvement to be addressed immediately, as well as ~~the CHIP a possible 2<sup>nd</sup> phase~~ of the planning process. The Latino/Hispanic Quality of Life Advisory Commission language specifies "funding of \$175,000 would help execute the recommendations identified in the study." This is "funding for the increased support of the Rundberg community's efforts to minimize health issues." ~~If necessary, the~~ The voice of the community prioritizes community health workers. Until the total funding amount is determined, the LHCF will not know exactly how many CHW's will be hired and trained but if hired they will be paid a living wage.

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Supporters include Rundberg area Council Member Gregorio Casar, AISD Trustee Ann Teich, the Restore Rundberg team including Commander Donald Baker, Latino/Hispanic Quality of Life Resource Advisory Commission and the Asian American Quality of Life Commission. Additionally, one of our recommendations, to double the frequency on Rundberg Lane, was recently approved by Capital Metro, and in June became effective. We welcome any additional support – to do so contact Chelsea Brass at [Chelsea@lhcf.org](mailto:Chelsea@lhcf.org).

To find out more information for the project, you can find all of our reports [here](#).

**From:** Rodriguez, Frank  
**To:** [Chelsea Brass](#); [Linda Smith](#); [Jill Ramirez](#)  
**Subject:** Send this in to Greg and the Mayor  
**Date:** Wednesday, August 12, 2015 3:24:00 PM  
**Attachments:** [Rundberg Proposal.pdf](#)  
[image001.png](#)

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**Frank Rodriguez**, Senior Policy Advisor | Office of Austin Mayor Steve Adler  
Austin City Hall | 301 W. Willie Nelson Blvd | Austin TX 78701  
512.978.2131 (office) | [REDACTED]  
Email: [frank.rodriguez@austintexas.gov](mailto:frank.rodriguez@austintexas.gov)

*We want Austin to be the most livable and best-managed city in the country.*







**Rundberg  
Health & Wellness  
Initiative**



**PROPOSAL TO IMPLEMENT A RUNDBERG  
COMMUNITY INNOVATION ZONE  
SPONSORED BY RESTORE RUNDBERG  
AND SUPPORTED BY THE HISPANIC/LATINO  
QUALITY OF LIFE ADVISORY COMMISSION AND  
THE ASIAN QUALITY OF LIFE ADVISORY  
COMMISSION**

**TO**

**THE AUSTIN CITY COUNCIL**

**August 12, 2015**

## EXECUTIVE SUMMARY

### REQUEST

Restore Rundberg is requesting funding to implement several findings from the City of Austin sponsored health assessment conducted by the Latino HealthCare Forum. This request is supported by *Restore Rundberg; the Asian Quality of Life Advisory Commission* and the *Latino/Hispanic Quality of Life Advisory Commission*. The funding of **\$175,000** would help execute the recommendations identified in the study. The requested funding is for the increased support of the Rundberg community's efforts to minimize health issues. The following executive summary provides an overview of the request.

### INTRODUCTION

#### **History & Background - Latino HealthCare Forum and the Rundberg Health Initiative**

The Rundberg/North Lamar area is amazingly diverse and called the international district for good reason. You can find a halal shop next to a panaderia next to the best pho this side of the Mississippi. There are also many needs in this area. Over half of the children in 78753 are on food stamps. There are some of the highest concentration of crime, as well as undocumented immigrants and refugees in this area of town compared to Austin at large. The assets are high, but so are the needs. Restore Rundberg, a multi-million dollar grant from the Department of Justice, lists community health as a priority issue.

Concurrently, there are many planning efforts underway. The City of Austin is in the CHIP (Community Health Improvement Planning) phase of a continual effort to improve population health city- and county-wide. Health disparities due to race, gender, sexual orientation, and class have all led to a push to study a more localized, down to zip code or census block level, to understand what is happening below the surface of the aggregated figures of city and county-level data.

The Restore Rundberg team approached the Latino HealthCare Forum (LHCF) to complete a local Rundberg CHA (Community Health Assessment). This team approached LHCF due to their work on Central Health's Southeast Health and Wellness Center (SEHWC). The SEHWC's engagement process at the local level during its development is an example of quantitative and qualitative research to improve the outcomes and the likelihood of success of the new center and its adoption into the

community. LHCF applied many of the same processes and lessons learned to complete the CHA (Community Health Assessment) in Rundberg.

## PROBLEM STATEMENT

In proposing some solutions to address problems in the Rundberg area, we are informed by the information discovered in the Community Health Assessment. We initiated an iterative process of collecting data, presenting preliminary data to the community, deliberating on priority areas, continuing to collect and analyze data while also collecting qualitative information that cannot be gained from quantitative analysis alone. The priorities and information discovered in the assessment inform the next steps as we move forward toward making improvements in the Rundberg area.

### Community Health Assessment Process

The Latino HealthCare Forum was approached by the Restore Rundberg team and funded by the City of Austin Health and Human Services Department with leveraged funds from the St. David's Foundation to complete an assessment. The Community Health Assessment completed in Rundberg had five components:

- 1) *Quantitative & Demographic Analysis*: A critical component of this kind of localized community health assessment is that data is collected below the aggregated city and county data. The more granular the level of the data, the clearer view we can gather information on disparities. Austin is fortunate to have a health information exchange, made possible by the Integrated Care Collaborative, to examine the health outcomes of clients in 78753 and 78758. We downloaded 700,000 rows of de-identified patient data, programmed this data into an interactive dashboard, which allowed us to slice data by age, race, gender, homelessness indicator, chronic disease indicator, by payer, by facility, by type of facility and more. More than this, with knowledge of social determinants of health bearing more influence on health than healthcare access, understanding an area's demographics such as income and race distribution can illuminate possible health disparities. We also compiled demographic information about the two zip codes, with a comparative analysis of those measures to city, county, state and national figures.
- 2) *Qualitative Research & Surveys*: Qualitative research included key stakeholder interviews with community leaders and other connected individuals, community forums, and focus groups, including two in Spanish, and ones in Arabic and Burmese (identified as having needs but less representation than other groups).
- 3) *Community Outreach & Social Media*: To ensure that we were reaching the community, we contacted community leaders, parent support specialists, appeared on television,

radio and in print to try to garner feedback and spread the word of our events that provided opportunities for community input. We established a separate website for the project, which the link can be found at the conclusion of this report, or [here](#).

4) *Community Asset Mapping & Stakeholder Analysis*: We had an opportunity for a deep community involvement; we decided to do an analysis of the stakeholders involved in Rundberg, and other assets in the area. We produced a separate report solely dedicated to a landscape analysis of players, leaders and organizations working in Rundberg, which can also be found at our website.

5) *Recommendations for Future Planning & Prioritized Efforts*: Though we hope to sustain planning efforts in Rundberg, we were asked to put out a plan based on priorities identified in the assessment. The proposal mentioned here is part of the recommendations for future efforts in Rundberg.

## **Results: Community Health Assessment**

As a result of this thorough demographic and clinical outcome analysis, public surveys, community engagement, community-based participatory research, and engagement, these priority areas were identified:

- 1) **Specialist Care**: Though there are primary care providers in the heart of Rundberg, waiting times for specialist care and accessing dental and mental health were presented as problems accessing healthcare.
- 2) **Limited Access**: A theme our team picked up on is, in addition to specialist services, there were also other access issues such as attaining healthy food, understanding the medical system, physical access such as public transportation to access specialist care.
- 3) **Widespread Barriers**: In addition to physical barriers, language obstacles pose everyday problems in seeking care (one participant states something to the effect of [without a translator] “how can I say my child is in pain?”), basic transactions such as knowing how to take medicine correctly. Other barriers include a doctor’s lack of understanding of other culture’s customs, economic barriers to care which can include a lack of access to paying jobs or educational opportunities, as well as a difficulty accessing the specialist care a few miles away, but with mobility difficulties, could include three buses and two-hour ride to the not-so-accessible clinic.

The City of Austin highlighted disparities in the areas of chronic disease and certain health outcomes; staff noted that this assessment complements their CHA/CHIP planning efforts as it confirmed their projections of disparities and priority areas. Health department staff has also been involved every step of the way, offering technical

assistance, as well as coordinating a Rundberg Alignment Workgroup, dedicated to preventing any duplicative efforts, keeping each other aligned and informed.

## PROPOSED SOLUTIONS

### Proposal of the Rundberg Community Innovation Zone

As mentioned in the 5<sup>th</sup> items of the assessment, the LHCF was asked to provide recommendations of priority areas to address in the next phase. For this initiative to be successful, it must include more than one institutional entity. These recommendations can work in conjunction with future and current efforts underway in the Rundberg area. The Restore Rundberg team has been involved every step of the process; concurrently this team is planning efforts in the same proposed corridor, named the Rundberg Educational Advancement District; we see every reason to work together to target our resources to this one area.

The initial recommendations of the Rundberg Community Health Assessment entail four activity areas to work in conjunction towards an effort to focus on one initial area of Rundberg, and future plans to extend in the future within Rundberg and beyond to replicate this place-based model of community health improvement. The four areas:

- 1) **Direct Service & Workforce Development Pilot: Community Health Workers/Promotores** to be located and to work in the area to provide an array of peer support and navigation services. This is the priority item of this proposal, and is the one that several community members have been asking for; the members of the Restore Rundberg team approached LHCF to do this assessment in part because of LHCF's expertise in training and employing this kind of workforce.

"Laypeople whose close connections with communities, health care knowledge, and interpersonal skills enable them to provide strategic education and other supports, especially in underserved communities. Effectively targeted CHWs can help people manage chronic conditions, coordinate services, and guide at-risk patients through the complexities of health services, including insurance enrollment. They can also help address social determinants of health at a neighborhood or community level, connecting clients to social and family services. In short, they create bridges between those in need and those who provide or pay for needed services, often going beyond clinical care. CHWs are also versatile. They can readily work with health care teams, other service providers, health insurers, or public health practitioners."<sup>1</sup>

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<sup>1</sup> "CareWorks: The Community Health Worker Project" *Urban Institute* <http://www.urban.org/features/careworks-community-health-worker-project> Date Accessed: July 23, 2015.



The Urban Institute also cites a few examples of the cost-effectiveness of CHWs, that found cost reductions more than double the cost of a program with adult males at public hospital in Denver and a study of Medicaid beneficiaries in Baltimore that showed ER diversion and decreased hospitalizations in Baltimore and significant cost declines of an asthma management program in Hawaii.<sup>2</sup>

Echoing the Urban Institute, we highly value the employment of Community Health Workers, especially those who most closely resemble the communities they serve. We believe this valuable workforce to be the link, linguistic and cultural translators. If used strategically, can greatly reduce the cost and time necessary to effect behavioral changes towards healthier lifestyles and greater adherence to clinical treatment. Furthermore, we see them as community innovators, with great insight and pragmatic advising to guide the work of researchers and professionals. Many communities use them as volunteers; we strongly believe that with development and investment they can be a powerful agent of change in an environment that seeks the transformation of care.

- 2) **Planning: Community Innovation Zone**, to be a place-based initiative, a corridor of services and planning efforts such as future transportation, city services, clinics, to be located in the heart of Rundberg (something we heard many times in the community engagement process). We also quickly realized that no one entity will be a panacea to the many challenges, and that opportunities lie in organizations and communities working together toward common goals. We are celebrating the 1<sup>st</sup> win of this proposal, a recommendation to double the frequency on Rundberg Lane, which was approved by Capital Metro, and became effective June 7<sup>th</sup>, moving people to their services along this corridor twice as fast.
- 3) **Technology: Language and Resource Directory Mobile Applications** to support the CHWs to help others overcome language obstacles & the digital divide. Using technology to cultivate and enhance relationships is a part of the strategy to propel innovation zones and districts to uplift communities that otherwise might stagnate with ongoing negative concerns. An initial “health tools” introduction, training and general implementation model would be based on the use of Community Health Care Workers or Promotores to deliver specific health-related applications customized to the local residents, families and communities.

---

<sup>2</sup> “The Evolution, Expansion, and Effectiveness of Community Health Workers” *Urban Institute*  
[http://www.urban.org/research/publication/evolution-expansion-and-effectiveness-community-health-workers/view/full\\_report](http://www.urban.org/research/publication/evolution-expansion-and-effectiveness-community-health-workers/view/full_report) Date Accessed: July 23, 2015.

The focus of our vision is specifically on this community and efforts towards community wellness and population health by way of, Community HealthCare Workers (CHWs) or Promotores will coordinate and serve as a conduit to engage consumers in a culturally and linguistically competent manner. We also see an economic development opportunity to cultivate minority entrepreneurs as social innovators.

The Latino HealthCare Forum (LHCF) will kick off its new Center for Healthy Communities (CHC) with a hackathon to bring together programmers from the general community with a focus on healthcare as it relates to the Rundberg community. The “problem statements” for these programmers will be ones identified in the community health assessment, used to develop solutions to the challenges in the community that in some cases create obstacles to accessing quality health care services.

A healthcare hackathon will serve as the event to facilitate the development of said applications. A variety of community members will assist LHCF with designing the hackathon to ensure relative success for all involved. The focus of the hackathon will be three-fold: innovation, intentional improvisation, and inclusiveness. The overarching strategy is to co-design with the community to shift the healthcare industry paradigm from “sick care” to “well care”, empowering the consumer with specific applications.

Applications identified as potentially useful:

- *A Community Portal:* The focus here would be to enhance the resident’s experience to accessing information in general (healthcare, health and wellness content, health insurance educational resources, food markets, pharmacy, etc.), aiming to reduce healthcare costs and improve population health. If funded well, for those without access to their own technology, we could envision kiosks accessed in the area that can provide this information. If less funded, we would suggest an application/website that could serve as a community portal, ideally with a multi-language directory, and opportunities to connect in a virtual space, and real-time and relevant information, tailed to the individual or family.
- *Mobile Health or mHealth applications:* Our goal would be to create a person-centered application that puts the individual in the driver’s seat of their own health. Resources would be devoted to training Community Health Workers on how to use the mobile technology, applications being co-designed in an iterative process with literacy professionals and Community Health Workers involved every step of the way. Depending on the amount of funding, other components could be added including telemedicine and language translation, with hopes of including Speech-to-Text and Text-to-Speech technology.

The Community Health Workers would then use this as a tool in helping others adhere to their appointments and access their health information, using technology as an aid to manage their own health conditions.

- 4) **Planning: Next Phase of Health Planning** to further the work of the assessment, including advisory workgroups made up of community members to address next steps of planning improvements in Rundberg. This would resemble the process used in Community Health Improvement Planning principles; if approved, a staff member of the City of Austin Health and Human Services would possibly offer technical assistance complemented and based on citywide practices of Community Health Improvement Planning.

## REQUEST

To this end, we are requesting funding for the areas of improvement to be addressed immediately, as well as the continued efforts of outreach and engagement. The Latino/Hispanic Quality of Life Advisory Commission language specifies, "funding of \$175,000 would help execute the recommendations identified in the study." This is "funding for the increased support of the Rundberg community's efforts to minimize health issues." The voice of the community prioritizes community health workers. Additionally, if approved, the Asian American Quality of Life Resource Advisory Commission also seeks to take advantage of the opportunity for a train-the-trainer model for the use of their own dedicated Community Health Worker(s). Until the total funding amount is determined, the LHCF will not know exactly how many CHW's will be hired and trained but if hired they will be paid a living wage. Depending on the investment of funders and private partners, we have a vision in to scale it larger to include more Community Health Workers and more advanced technology to design around the aims of this project and the needs of the community.

- 1) Train-the-trainer Community Health Worker Training
  - a. 3 months' salary of trainer for 250-hour state-required training
  - b. Materials, Overhead, Printouts, etc.
  - c. Childcare services
  - d. Translator Services (Spanish & possibly Arabic and/or Burmese)
- 2) Employment of 4.5 FTE Community Health Workers
  - a. Advocacy & Service Navigation
  - b. Programming to reflect Priority Areas Identified in Study
- 3) CHW Training, Item #1 in Scenario 1 (for 20 students)

- 4) Technology to address language obstacles and help others overcome digital divide (note: technology funds are leveraging private support in the amount of \$75,000 in services from a major technology company)

## CLOSING REMARKS

Current supporters include Rundberg area Council Member Gregorio Casar, AISD Trustee Ann Teich, the Restore Rundberg team including Commander Donald Baker, Latino/Hispanic Quality of Life Resource Advisory Commission and a resolution of support from the Asian American Quality of Life Resource Advisory Commission.

We ask for your support and leadership in realizing this vision. We have the support of the Rundberg community behind us, and we hope to make great things happen. If this can be successful in Rundberg, we hope to scale and promote this project in other areas that are prepared and dedicated to change.

## SUPPORT & CONTACT

We welcome any additional support - to do so contact Chelsea Brass at [Chelsea@lhcf.org](mailto:Chelsea@lhcf.org) or at

To find out more information for the project, you can find all of our reports [here](#).

From: Linda Smith  
To: Rodriguez, Frank; Chelsea Brass; Jill Ramirez  
Subject: Re: Send this in to Greg and the Mayor  
Date: Wednesday, August 12, 2015 3:39:30 PM  
Attachments: ATT00001.png

---

Thanks, Frank. Good job!

Linda Smith, MSW  
Human Resource Manager  
Latino HealthCare Forum  
855.373.5423  
512.584.0943

<http://www.latinohhealthcareforum.org>

On 8/12/2015 3:24 PM, Rodriguez, Frank wrote:

**Frank Rodriguez**, Senior Policy Advisor | Office of Austin Mayor Steve Adler  
Austin City Hall | 301 W. Willie Nelson Blvd | Austin TX 78701  
512.978.2131 (office) | [REDACTED] (cell)  
Email: [frank.rodriguez@austintexas.gov](mailto:frank.rodriguez@austintexas.gov)

*We want Austin to be the most livable and best-managed city in the country.*





**From:** Jill Ramirez  
**To:** Rodriguez, Frank; Chelsea Brass; Linda Smith  
**Subject:** Re: Send this in to Greg and the Mayor  
**Date:** Wednesday, August 12, 2015 3:58:01 PM  
**Attachments:** ATT00001.png

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Thank you!!!!

Jill C. Ramirez, M.Ed.  
Chief Executive Officer  
Latino HealthCare Forum  
6601 Felix Ave.  
Austin, TX 78741  
(512) 484-1507

On 8/12/15 3:24 PM, Rodriguez, Frank wrote:

**Frank Rodriguez**, Senior Policy Advisor | Office of Austin Mayor Steve Adler  
Austin City Hall | 301 W. Willie Nelson Blvd | Austin TX 78701  
512.978.2131 (office) | [REDACTED] (cell)  
Email: [frank.rodriguez@austintexas.gov](mailto:frank.rodriguez@austintexas.gov)

*We want Austin to be the most livable and best-managed city in the country.*



**From:** Jill Ramirez  
**To:** Adler, Steve  
**Cc:** Rodriguez, Frank  
**Subject:** Rundberg proposal  
**Date:** Wednesday, August 12, 2015 3:50:54 PM  
**Attachments:** Rundberg Proposal.pdf

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Honorable Mayor Steve Adler,  
Thank you for attending the Restore Rundberg Health Committee presentation and touring the Rundberg area yesterday. As mentioned during the presentation, the LHCF is submitting a proposal for improving the health of the Rundberg community to the City Council. We respectfully ask that you support our efforts. Please see attached document. If you have any questions, please do not hesitate to contact me at 512.484.1507 or email me.

Sincerely,

--

Jill C. Ramirez, M.Ed.  
Chief Executive Officer  
Latino HealthCare Forum  
6601 Felix Ave.  
Austin, TX 78741  
(512) 484-1507

**From:** Mayor Adler  
**To:** [Rodriguez, Frank](#)  
**Subject:** FW: Rundberg proposal  
**Date:** Thursday, August 13, 2015 11:35:46 AM  
**Attachments:** [Rundberg Proposal.pdf](#)

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-----Original Message-----

From: Wick, Jim On Behalf Of Adler, Steve  
Sent: Thursday, August 13, 2015 10:58 AM  
To: Mayor Adler  
Subject: FW: Rundberg proposal

Director of Community Engagement  
Office of the Mayor, City of Austin  
512.978.2126 (o)  
405.651.9920 (m)

-----Original Message-----

From: Jill Ramirez [<mailto:jill@latinohealthcareforum.org>]  
Sent: Wednesday, August 12, 2015 3:51 PM  
To: Adler, Steve  
Cc: Rodriguez, Frank  
Subject: Rundberg proposal

Honorable Mayor Steve Adler,  
Thank you for attending the Restore Rundberg Health Committee presentation and touring the Rundberg area yesterday. As mentioned during the presentation, the LHCF is submitting a proposal for improving the health of the Rundberg community to the City Council. We respectfully ask that you support our efforts. Please see attached document. If you have any questions, please do not hesitate to contact me at 512.484.1507 or email me.

Sincerely,

--

Jill C. Ramirez, M.Ed.  
Chief Executive Officer  
Latino HealthCare Forum  
6601 Felix Ave.  
Austin, TX 78741  
(512) 484-1507

**From:** Rodriguez, Frank  
**To:** [isabel@latinohealthcareforum.org](mailto:isabel@latinohealthcareforum.org); jill; [Chelsea Brass](#); [Linda Smith](#)  
**Subject:** Public engagement for CodeNEXT opportunity  
**Date:** Wednesday, August 12, 2015 5:17:31 PM  
**Attachments:** [COA-LDC\\_Public\\_Engagement\\_Plan\\_Outline\\_DRAFT\\_081613.pdf](#)  
[ATT00001.htm](#)

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The Mayor and others want a culturally competent public engagement process. I'm sending you the Cultural Strategies plan that was done earlier last year. Apparently there is another opportunity to do more. Read the information and think about doing some of this work through the CHC. The theme would be to do this under the social determinants of health with regard to the built environment. Research best practices in doing this. Also, read the Codenext info on the city's website. FMR

[http://www.austintexas.gov/sites/default/files/files/COA-LDC\\_Public\\_Engagement\\_Plan\\_Outline\\_DRAFT\\_081613.pdf](http://www.austintexas.gov/sites/default/files/files/COA-LDC_Public_Engagement_Plan_Outline_DRAFT_081613.pdf)

**Land Development Code Rewrite Project  
Public Engagement Plan Outline  
DRAFT 8-16-13**

**I. About This Document**

The outline below provides an overview of the elements of the Public Engagement Plan for the Land Development Code rewrite process. Over the next two months, the Consultant Outreach Team will work closely with the Code Advisory Group and City Staff to develop the Preliminary Engagement Plan. The Outreach Team will then present the Preliminary Engagement Plan to the public for comment and refinement during the initial Listening Sessions. After the Listening Sessions, the Outreach Team will present proposed changes to the Code Advisory Group, City Staff, and the community before completing the Final Public Engagement Plan.

**II. Introduction**

This section of the Public Engagement Plan will introduce the existing land development code and its revision process to set the stage for meaningful engagement by existing stakeholders from Imagine Austin and other City code-related efforts, as well as Austin residents and other stakeholders who were not previously involved in the Imagine Austin Comprehensive Plan process.

Focusing on the difficulty and cost of using the present code for businesses, residents, and City staff, it will convey the importance of the code revision to the long-term health and viability of the community. As one of eight Priority Programs of Imagine Austin, this section will identify some of the longstanding issues that are facing our community while beginning to set expectations of the types of problems the code revision can and cannot address.

**III. Public Engagement Approach**

*Principles*

This section will outline the City of Austin's public participation principles, as well as the philosophy and guiding principles that will inform the approach to public engagement, highlighting key principles such as:

- Inclusion
- Transparency
- Openness to learning
- Multiculturalism

*b. Goals*



**Land Development Code Rewrite Project  
Public Engagement Plan Outline  
DRAFT 8-16-13**

This section will lay out the overarching goals of the public engagement process, such as understanding:

- what people value about their community, and areas of concern
- experiences people have had with the code, and areas of needed improvement
- how to accommodate growth, and the degree of change

*c. Participants*

This section will include brief descriptions of the participants that will be engaged throughout, such as:

- the general public
- homeowners
- businesses
- civic groups
- nonprofit organizations

*d. Public Engagement Team*

This section will include brief descriptions of the groups with key roles in the process, such as:

- the City Council
- Planning Commission
- Code Advisory Group
- City Staff
- the Consultant Team

*e. Engagement Process*

This section will include a diagram that lays out the engagement process and a timeline of key activities and opportunities for input. It will also make clear how the input will be used at key points throughout the process.

**Land Development Code Rewrite Project  
Public Engagement Plan Outline  
DRAFT 8-16-13**

**IV. Public Participation Framework and Strategies**

*a. Strategies*

This section will lay the framework for the public participation strategies to be used in fulfilling the project goals. This will include strategies for:

- Communication and raising awareness about the project.
- Education and discussion about the code and key community issues impacted by the code.
- Gathering input about what people like and value about specific places, as well as what concerns them.
- Gathering input on broader topics of concern related to the code and the process of working with the code.
- Gathering input on the analysis of existing community character.
- Diliberate possible approaches to preserve and enhance changes envisioned in Imagine Austin, and exploring possible approaches and, ultimately, rules that are appropriate for achieving desired community character and accommodating change.

*b. Methods*

Each of the methods used to implement the engagement strategies will be designed to integrate the guiding principles of engagement. Potential methods include:

- **In-depth interviews** to understand perceptions and attitudes for effective messaging and communication
- **Stakeholder interviews** to understand detailed issues, concerns with, and possible approaches to the new code
- **Listening sessions** with the general public to understand likes and concerns about specific places and gather feedback on the public engagement plan
- **Small group meetings** with existing and new stakeholder groups to gather input on what they value and are concerned about on both specific places and related to the code itself
- **Educational speaker sessions** to foster more in-depth learning and discussion about hot topics related to the land development code
- **Ambassador program** to engage leaders from traditionally underrepresented communities to foster greater involvement in those communities

**Land Development Code Rewrite Project  
Public Engagement Plan Outline  
DRAFT 8-16-13**

- **Booths and presentations** at neighborhood and community events and presentations at existing meetings of community organizations

*c. Tools and Platforms*

This section will also highlight the specific tools and platforms that will be used to inform and engage the community about the project, which include:

- **Website**, including online engagement platform, surveys, etc.
- **Social media** (Facebook, Twitter, YouTube, Instagram, Vine)
- **Traditional media**, including news releases, press conferences, media interviews and public service announcements
- **Peer-to-peer toolkit to support ambassadors**
- **Newsletters**
- **Channel 6**

**V. Documenting Input and Improving the Process**

The final section of the Plan will include the approaches that will be used to gather and document input provided by the public and the methods to help foster a two-way conversation in which questions are answered in a timely, transparent and informed fashion.

Also included in this section will be the mechanisms for continually learning from what's working and what needs improvement in the public engagement process. It will include documentation methods for gathering quantitative and qualitative data about participation and strategies for process improvement.

**VI. Continuing the Process**

Later in the Listening, Understanding, and Analysis process will offer a number of public engagement opportunities currently under development. They include:

- **Listening to the Community Report** - The Outreach Team, in coordination with the City, will analyze and summarize the comments, concerns and questions expressed by stakeholders and participants engaged by the outreach efforts and draft a preliminary Listening to the Community report for review by the Management Team, the City, and Code Advisory Group.
- **Community Character Workshops** - The Community Character Workshops will present the Community Character work completed to date and the preliminary "Listening to the

**Land Development Code Rewrite Project**  
**Public Engagement Plan Outline**  
**DRAFT 8-16-13**

Community Report.” The purpose of the meeting is to gather and respond to feedback from the community, and to begin to demonstrate how this work will serve as a foundation for the code update.

- **Envision Tomorrow Baseline** - The Consultant team, working with City Staff, will calibrate the Envision Tomorrow software to better understand and create a baseline scenario of development potential and impacts in parts of the City.
- **Big Community Events** - The Code team and Outreach team, in close coordination with the City, will conduct public workshops to present, discuss and receive feedback on the following items: Community Character Analysis, Initial Code Diagnosis, Place Types Analysis, and the Scenario Baselines.
- **Code Alternatives Memo** - Based on the work completed in prior tasks, the Code Alternatives Memo will summarize up to three alternative approaches to coding the city. The memo will be presented to the Code Advisory Group.
- **Annotated Outline of Code** - The Consultant team will present the Annotated Outline of the Code, a summary of the proposed code structure and organization for the preferred approach, to the Planning Commission and City Council for review and consideration.

The outreach team looks forward to working with the Code Advisory Group and City Staff to revise this Public Engagement Plan over the next few months.

**VII. Contact Information**

Sebastian Puente, CEO  
Cultural Strategies, Consultant Outreach Team Project Leader  
512.501.4971  
spuente@cultural-strategies.com

**From:** Linda Smith  
**To:** Rodriguez, Frank; [Isabel@latinohealthcareforum.org](mailto:Isabel@latinohealthcareforum.org); Jill; Chelsea Brass  
**Subject:** Re: Public engagement for CodeNEXT opportunity  
**Date:** Wednesday, August 12, 2015 5:38:26 PM

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Frank, do you know what the time frame might be? Chelsea, I'm assuming you will be the lead on this proposal and we can help review it. If we get the proposal we can hire others to work on it and LHCF would have an oversight role. We can make sure it is done correctly and include all parts of the City, not just developers. One of our goals is to make sure our crescent neighborhoods understand the process.

Linda Smith, MSW  
Human Resource Manager  
Latino HealthCare Forum  
855.373.5423  
512.584.0943

<http://www.latinohealthcareforum.org>  
On 8/12/2015 5:17 PM, Rodriguez, Frank wrote:

The Mayor and others want a culturally competent public engagement process. I'm sending you the Cultural Strategies plan that was done earlier last year. Apparently there is another opportunity to do more. Read the information and think about doing some of this work through the CHC. The theme would be to do this under the social determinants of health with regard to the built environment. Research best practices in doing this. Also, read the Codenext info on the city's website. FMR

[http://www.austintexas.gov/sites/default/files/files/COA-LDC\\_Public\\_Engagement\\_Plan\\_Outline\\_DRAFT\\_081613.pdf](http://www.austintexas.gov/sites/default/files/files/COA-LDC_Public_Engagement_Plan_Outline_DRAFT_081613.pdf)



**From:** [chelsea@lhcf.org](mailto:chelsea@lhcf.org)  
**To:** [Rodriguez, Frank](mailto:Rodriguez, Frank); [isabel@latinohealthcareforum.org](mailto:isabel@latinohealthcareforum.org); [jill](mailto:jill); [linda](mailto:linda)  
**Subject:** Re: Public engagement for CodeNEXT opportunity  
**Date:** Wednesday, August 12, 2015 9:43:40 PM

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I can draw on my experience as the city's Outreach Coordinator for the 2012 bond development process to develop this application. We can provide a lot more substance and experience based off our staff and my city experience to develop this proposal.

> On August 12, 2015 at 5:38 PM Linda Smith [REDACTED]

> wrote:

>

>

> Frank, do you know what the time frame might be? Chelsea, I'm assuming  
> you will be the lead on this proposal and we can help review it. If we  
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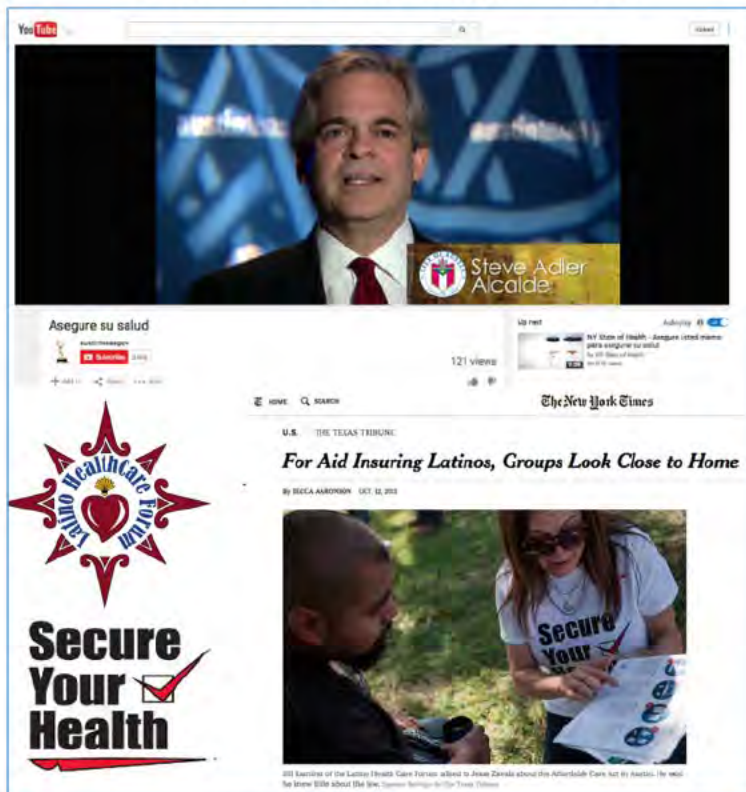
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**A PROPOSAL TO INCREASE INSURANCE COVERAGE IN THE AFFORDABLE CARE ACT'S  
INSURANCE MARKETPLACE FOR  
VULNERABLE AND HARD TO REACH COMMUNITIES**



**SUBMITTED TO THE CITY OF AUSTIN HEALTH AND HUMAN SERVICES DEPARTMENT  
BY  
THE LATINO HEALTHCARE FORUM  
August 14, 2015**

A Proposed Community Program by the Latino HealthCare Forum  
to the Office of Minority Health to Improve Minority Health

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**Commented [MR1]:** I couldn't find this piece in the proposal you sent.

## **A Proposed Community Program of the Latino HealthCare Forum Presented to the Office of Minority Health to Improve Minority Health**

- **Introduction/Overview (what is the purpose of this contract?)**

The Latino HealthCare Forum (LHCF) is a community-based nonprofit formed to improve the health of all Texans by assuring their access to affordable high quality care. The mission of the LHCF is to increase the number of insured Texans, improve health care quality, lower costs, and reduce health disparities. Through consumer focused outreach activities the Latino HealthCare Forum empowers consumers to choose health insurance plans that give them the best value. The LHCF is presenting this proposal to the City of Austin Health and Human Services for funding consideration to provide outreach and education to 140,000 uninsured vulnerable, hard-to-reach minority population and enrollment support to enroll 3,500 uninsured individuals over the period of open enrollment from November 1, 2015 to January 30, 2016.

**Goals.** The goals of the project are as follows:

- Establish a program using Outreach and Enrollment Specialists (OES) that reflects the cultural and linguistic diversity of the target audiences and results in successful relationships and partnerships.
- Ensure that OES are knowledgeable of both subsidized and non-subsidized health coverage and qualified health plans and that Navigators are equipped with the information and expertise needed to successfully educate and enroll individuals in coverage regardless of the type of program for which they are eligible.
- Promote retention of existing insurance coverage in public programs.
- Develop a coalition with key partners to ensure maximum messaging and enrollment.
- Identify incentive options that encourage OES to conduct activities that result in the successful enrollment of the target audiences into health care coverage.
- Establish quality assurance standards and protocols
- Design the program to make the transition toward a Marketplace that provides a seamless, “no wrong door” consumer experience regardless of program eligibility.
- To leverage existing public and private health distribution channels and funding sources outside the Marketplace to achieve enrollment goals while maintaining common program standards for all individuals assisting with enrollment in Marketplace products.
- Ensure that OES will adhere to a code of conduct, confidentiality and guideline agreements. Targets. The targets are those who are eligible for: 1) any subsidized program (marketplace subsidy, Medicaid, Medicare, etc. and; 2) non-subsidized individual marketplace. In Travis County there are over 200,000 uninsured. The American Community Survey in 2013 estimated that 31% of the people in our targeted area of focus of eight zip codes are uninsured, compared to the Travis County’s 19.9% uninsured rate. 62% Latino or Hispanic on average 62% Latino/Hispanic, and in one of the zip codes Latino/Hispanic consist of 76.10%. Over one-third of the Latino/Hispanic population lives in these 8 zip codes. Additionally, six of the eight zip

codes have a median income below the average federal poverty line. On average, one-third of the people in these zip codes are uninsured. In building to reach that goal, the enrollment target by the LHCF OES for the enrollment period of November 1, 2015 to January 31, 2016. The target outreach is 10,000 of currently uninsured Travis County residents between 100% and 250% of the federal poverty level. This enrollment target is based on estimates of applications needing assistance and target population identified and interested.

	County	City	8 Zip Code Average
# Uninsured	210,222	172,946	50,188
% Uninsured	19.90%	20.80%	31.58%
Median Income	\$73,951	\$53,946	\$40,661
Median Below 200%	No	No	Yes
% Below FPL	12.20%	13.50%	23.78%
% Latino/Hispanic	33.50%	34.60%	62.50%
# Latino/Hispanic	356,705	289,449	105,077
% African American	8.3%	8.0%	10.85%
# African/American	88,767	67,008	17,520
% Asian	5.9%	6.2%	1.40%
# Asian	62,503	52,285	3,332

Source: 2013 American Community Survey, One-Year Estimate

TARGET POPULATION FOR ENROLLMENT (ACS 2011)	
Uninsured	Travis County
Primary Target Area - 8 Zip Codes	140,517
# 100% to 250% FPL	68,201
# Eligible for Insurance Marketplace	34,101
<b>Target Population for Consumer Assistance</b>	
Population needing and requesting Outreach and Education and potential enrollment – 30% of eligible for marketplace	<b>10,000</b>
<b>Target Population for Enrollment – 25% of population needing consumer assistance</b>	<b>2,500</b>

**Budget.** The budget to administer the proposed CHW Program is \$200,000 for a three month period.

**Evidence Based Program.** The LHCF has experience with the ACA's Insurance Marketplace through outreach and enrollment and "boots on the ground" funded through the local health care county authority. The LHCF's previous work was recognized by State and Federal HHS representatives as one of the "best practice" outreach and enrollment practices. In addition to providing care, there is no more important goal for the LHCF than to remove barriers to access. The LHCF has the opportunity to remove the primary barrier – lack of insurance – with the City of Austin HHS funding by providing support for consumer outreach, education, and enrollment assistance for the Affordable Care Act's Insurance Marketplace.

## 2. PROJECT DESCRIPTION (Discuss specific objectives, activities to achieve objectives and purpose)

### Problem Statement



About half of the uninsured population are Latinos who also qualify for the Insurance Marketplace. More than half of the nation's 10.2 million eligible uninsured Latinos live in California or Texas. Next to California, Texas has 2.5 million or 24 percent of all eligible uninsured Latinos. A majority (63 percent) of eligible uninsured Latinos report they speak English as a first language and about one-third (37 percent) of eligible uninsured Latinos rely on Spanish, and 27 percent live in a household without an English-speaking adult present. A little less than half of eligible uninsured Latinos have incomes below 100 percent of the Federal Poverty Level and nearly half live in states not expanding Medicaid. This means that nearly one in five uninsured Latinos may not gain access to affordable coverage through Medicaid in 2014 because their state declined to take this federally funded option.

According to the latest ASPE Office of Health Policy published on March 2015 Characteristics of 2015 Plan Selections through the Marketplaces in the HealthCare.gov States Compared to 2014 and Characteristics the demographic characteristics of consumers selecting plans through the Marketplaces in the HealthCare.gov states during the 2014 and 2015 Open Enrollment Periods were quite similar.

Most notably, new consumers were more likely to be young adults, less likely to select a silver plan, more likely to be African-American or Latino, and less likely to be White.

Comparison of Selected Characteristics of Plan Selections through the Marketplaces in States Using the HealthCare.gov Platform	2014 Open Enrollment Period (2)	2015 Open Enrollment Period (3)			
	Total Plan Selections	Total Plan Selections	By Reenrollment Status		
			New Consumers	Active Reenrollees	Automatic Reenrollees
Total Number of Individuals Who Have Selected a 2015 Plan Through the Marketplaces in the HealthCare.gov States (1)	5.44 million	8.84 million	4.67 million	2.21 million	1.96 million
Males who have selected a Marketplace plan (5)	43%	46%	47%	43%	46%
Females who have selected a Marketplace plan (5)	55%	54%	53%	57%	54%
0 to 34 year olds who have selected a Marketplace plan (5)	35%	36%	40%	28%	36%
18 to 34 year olds who have selected a Marketplace plan (5)	28%	28%	31%	21%	29%
Individuals who have selected a Silver Marketplace plan (5)	69%	69%	66%	72%	72%
Individuals who have selected a Marketplace plan with Financial Assistance (5)	86%	87%	86%	91%	84%
African-Americans who have selected a Marketplace plan (5)	17%	14%	16%	11%	15%
Latinos who have selected a Marketplace plan (5)	11%	11%	12%	10%	10%
Whites who have selected a Marketplace plan (5)	63%	65%	63%	69%	66%
Individuals in ZIP Codes designated as Rural who have selected a Marketplace Plan (5)	N/A	17%	17%	18%	18%

Source: ASPE Issue Brief March 2015. Page 11)

<b>Marketplace Plan Selections by Gender, Age, Metal Level, Financial Assistance Status, Race/Ethnicity, and Rural Status</b> <b>in States Using the HealthCare.gov Platform (1)</b> <i>11-15-14 to 2-15-15 (including SEP activity through 2-22-15)</i>		
Characteristics	<b>States Using the HealthCare.gov Platform for the 2015 Coverage Year</b> <i>(37 States)</i>	
	<b>Number</b> <b>11-15-14 to 2-15-15</b> <i>(including SEP activity through 2-22-15)</i> <b>(2)</b>	<b>% of Available Data,</b> <b>Excluding Unknown</b> <b>(3)</b>
<b>By Self-Reported Race/Ethnicity</b>		
American Indian / Alaska Native	26,314	0%
Asian	460,293	8%
Native Hawaiian / Pacific Islander	5,145	0%
African-American	789,498	14%
Latino	613,053	11%
White	3,649,620	65%
Multiracial	76,609	1%
<b>Subtotal: Plan Selections With Available Data on Self-Reported Race/Ethnicity</b>	5,620,532	100%
Unknown Race/Ethnicity	3,217,759	n/a
<b>By Rural Status</b>		
In ZIP Codes Designated as Rural	1,542,970	17%
In ZIP Codes Designated as Urban	7,295,321	83%

(Source: ASPE Issue Brief March 2015. Page 27)

Marketplace Plan Selection by Enrollment Type in States Using the HealthCare.gov Platform, by State, 2015 (1) <i>11-15-14 to 2-15-15 (including SEP activity through 2-22-15)</i>					
Description	Total Number of Individuals With 2015 Plan Selections Through the Marketplaces (1)	Distribution By Enrollment Type (2)			
		New Consumers (3)	Consumers Reenrolling in Marketplace Coverage (4)		
			Total Reenrollees	Active Reenrollees (5)	Automatic Reenrollees (6)
			% of Total	% of Total	% of Total
Texas	1,205,174	57%	43%	21%	22%

(Source: ASPE Issue Brief March 2015. Page 37)

Texas declined to play a role in implementing the ACA's major components and is one of four states that will not enforce market reforms, and had a federally facilitated marketplace where the state played no formal role and the state declined to expand Medicaid.

Indeed, Texas even passed rules through the Texas Department of Insurance to regulate the state's ACA navigators and other assisters with aggressive implementation deadlines. The Latino HealthCare Forum fortunately was exempted from these rules because it provides assistance under state authority as a Texas Health and Human Services Commission Community Partner.

Latinos historically have had the nation's highest rate of uninsured, with 29 percent without coverage in 2012, according to Census Bureau figures. About 17 percent of African Americans, 15 percent of Asian Americans and 10 percent of whites did not have health insurance that year.

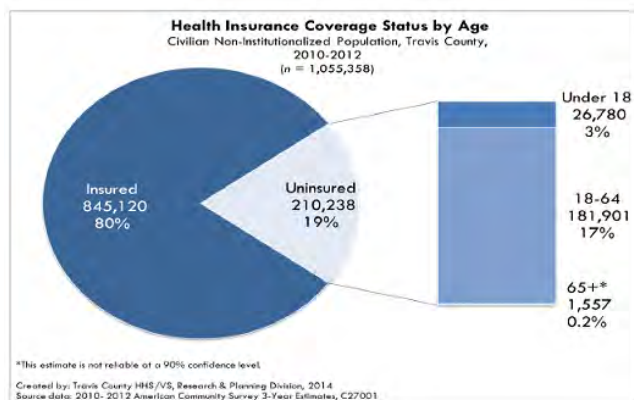
When excluding people who didn't report ethnicity, Latinos accounted for 10.7 percent of those signing up for coverage in the federal exchanges. That's less than the population of Latinos eligible to sign up for exchange plans, according to HHS data. Whites also signed up at proportionally lower rates, but African Americans and Asian Americans signed up at higher rates.

Almost 40 percent of Texans are Latino, and many of them are uninsured. U.S. Census data from 2012 show 39 percent of Texas' Latino population was uninsured, compared with 17 percent of whites and 22 percent of blacks. A May 2014 study by Rice University found Texas Latinos were more than twice as likely as whites to enroll in federally mandated health insurance marketplace plans under the Affordable Care Act. Researchers also found Latino adults in Texas have more difficulty affording health care than white adults and are three times as likely to be uninsured.

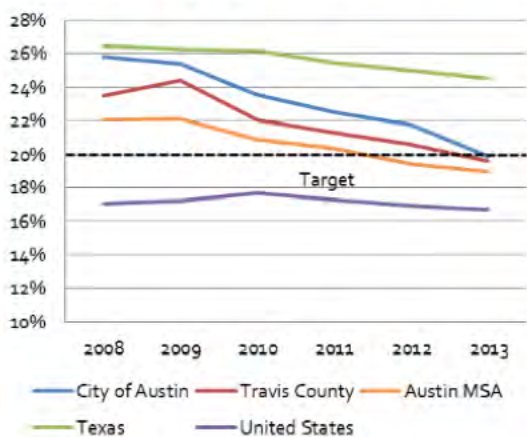
About 6 million Texans, 25 percent of the state's population, are uninsured. The state has the highest rate of uninsured residents nationwide. The Department of Health and Human Services announced nearly 734,000 Texans enrolled in 2014 coverage between Oct. 1 and April 19. The sign-up data included demographic information, showing 37.8 percent of Texas' marketplace enrollees who identified themselves by race or ethnicity were white; 33.6 percent Latino; 13.8 percent black; and 13.2 percent Asian. However, about 1 in 3 enrollees did not list any race or ethnicity.

Unfortunately the State of Texas did not embrace the ACA in spite of its very large and diverse uninsured population. The state did not spend any funds targeting Latinos for sign-up, so Texas areas relied on Federal Navigator funds and local funding.

Texas has the highest proportion of uninsured residents in the nation (25%). The latest federal reports estimate that Travis County, the Latino HealthCare Forum's targeted area, is one of seven counties and one of the 116 metro areas with a high level of uninsured at 215,707 which is 22% of the County's population. There are about 89,000 eligible individuals between 100 to 400% of the federal poverty level. The largest segment of uninsured persons in Travis County is comprised of working-age adults (18-64).



People under Age 65 With No Health Insurance



Source: American Community Survey, 1-Year Estimates

"The percent of people under 65 who lack health insurance in Travis County continues to fall. In 2013, 20% uninsured in Travis County residents were those under the age of 65. Nevertheless, a higher percentage of local residents lack health insurance than nationally, and one out of five people under age 65 do not have health insurance. The latest 2013 Census data do not fully reflect the impact of the Affordable Care Act (ACA) on health care coverage, as enrollment in the program began in October of that year. Central Health estimates that just over 101,000 people selected healthcare plans during the second year of enrollment, which began in November 2014" (CAN Dashboard 2015, 15).

In terms of race, nearly equal proportions of White, Asian and Black populations are uninsured. In terms of Latino Origin, nearly 60% of the uninsured identify themselves as being of Hispanic Origin.

Table 6. Uninsured by Race and Hispanic Origin, Travis County, 2010-2012

Total population <sup>27</sup>		Uninsured	Proportion of total uninsured population	Proportion of racial/ethnic group that is uninsured
1,055,358		210,238	100%	n/a
<b>Total population by Hispanic Origin</b>				
Hispanic or Latino	356,413	119,399	57%	34%
Not Hispanic or Latino	698,945	90,839	43%	13%

<sup>27</sup>These estimates are not reliable at a 90% confidence interval.

Notes: The ACS identifies "Native Hawaiian and Pacific Islanders" as a race category as well, but withheld data for that group for years 2010-2012.

Created by: Travis County HHS/VS, Research & Planning Division, 2014

Source data: 2010-2012 American Community Survey 3-Year Estimates, C27001, C27001A-1

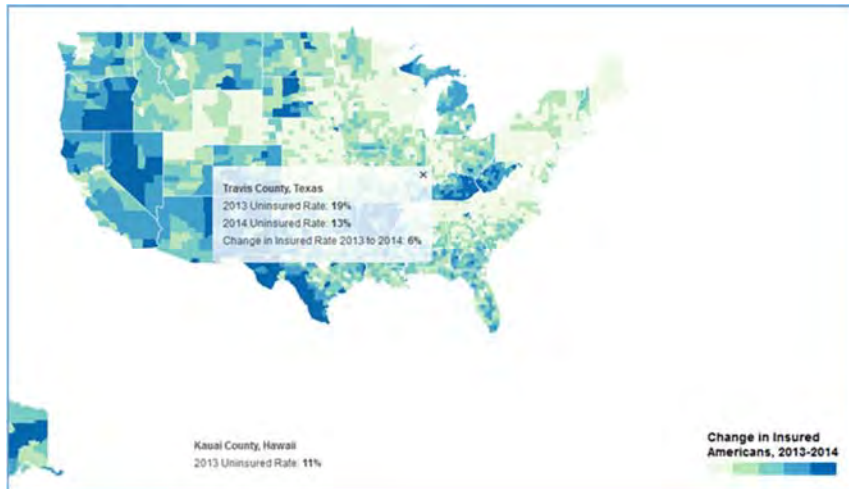
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1,055,358		210,238	100%	n/a
<b>Total population by race</b>				
White alone	782,413	141,683	67%	18%
Black alone	87,756	15,224	7%	17%
American Indian and Alaskan Native alone	6,244*	1,522*	1%*	24%*
Asian alone	61,335	11,489	5%	19%
Some other race alone	87,689	35,074	17%	40%
Two or more races	29,244	5,014	2%	17%



Without Medicaid expansion and without robust state support of the ACA, most of the uninsured will remain so. The importance of the City of Austin support cannot be understated. In Central Texas and for Travis County in particular there were no federal navigators funded for the first enrollment period and as a result all Insurance Marketplace outreach, education, and enrollment relied on local funding which was inadequate for the large uninsured population in Central Texas and in particular, Travis County. The Latino HealthCare Forum implemented a cultural and linguistic competent “best practices” outreach, education, and enrollment program using its staff of community health workers/Promotores. The Latino HealthCare Forum is only one of a handful of community-based organizations in Texas that is authorized to provide training for Community Health Workers/Promotores as authorized by the Texas Department of Health and Human Services. In two years, the Latino HealthCare Forum has certified over 50 CHWs/Promotores in the Latino HealthCare Forum’s PromoSalud training program. These CHWs/Promotores are working in outreach and clinical settings. In particular the Latino HealthCare Forum used over 15 CHWs/Promotores during the last Insurance Marketplace enrollment period performing outreach, education, and enrollment services. Without the participation of these CHWs/Promotores enrollment in Central Texas could have been dismal but was not. The Latino HealthCare Forum was recognized by local and federal authorities in leading other areas with their outreach and enrollment efforts.

During our last open enrollment period our organization received the CAC designation by the Federal Government. Our organization understood the importance of key partnerships and the need to provide the best services to our community and entered in a partnership with The Centers for Medicare and Medicaid Services (“CMS”), which oversees the Federally-facilitated Exchanges (“FEEs”) designated the LHCF as a Certified Application Counselor Designated Organization in Texas allowing our Promotores to receive the appropriate training, perform the duties and meet the standards and requirements implied in our certification agreement. All our Promotores became Certified Application Counselors (“CACs”) through the Insurance Marketplace after going through the provided training and passing all modules. The Marketplace Certified Application Counselor is certified to assist consumers in understanding new programs, taking advantage of consumers protections and helping consumers navigating the health insurance system to find the most affordable coverage that meets the consumer’s needs. In spite of this achievement more work needs to be done. Signups for Latinos lagged for various reasons. Travis County is not unique in enrolling hard-to-reach vulnerable populations. Issues identified have been the Spanish website, digital divide, shortage of enrollment personnel, Spanish language materials, and a preference for Latinos to enroll in person instead of online.



(Source Enroll America)

LHCF was part of the efforts to reduce the number of uninsured in Travis County, last year the number of uninsured went from 19% to 13% for a drop of 6% on the number of uninsured. According to **the latest figures** Travis County enrolled 42,547 during the first open enrollment period and 65,505. The LHCF played a significant role, getting the word out through the different outreach efforts funded by the City of Austin Health and Human Services Department.

In its work on the Insurance Marketplace, the LHCF pursued a “no wrong door” approach. That is, to assist for whichever forms of assistance consumers would be eligible-- Marketplace premium credits, Medicaid, or CHIP. The LHCF attempted to screen for eligibility for all three programs and to refer to the appropriate program for enrollment. In doing this work, it became apparent that even though the ACA encourages a “no wrong door” approach, the mechanisms are not in place to facilitate this.

The LHCF believes that broad and targeted outreach strategies are key for reaching eligible families for all types of public assistance. The LHCF thinks that a targeted community based strategy has great potential to further increase Medicaid membership and Insurance Marketplace enrollment.

- Individuals want to have health coverage and value the Medicaid program for the key benefits it provides to their health and lives more broadly. Our experience is that most individuals believe that having health coverage is important and say they would enroll in

Medicaid if eligible. Our targeted campaign, “Secure Your Health” has overlap from the insurance marketplace to Medicaid. Individuals value public assistance programs like Medicaid and the Insurance Marketplace for providing peace of mind and protection from large medical bills.

Our Promotores were educated on how to access and complete applications through the insurance marketplace and completed applications with all the consumers that came through our doors. The Marketplace offered two options to complete the the applications that included a website and a call center, our Promotores used both tools to ensure the enrollment of consumers in Travis county, contributing to the

Cumulative Enrollment-Related Information Relating to the Marketplaces in States Using The HealthCare.gov Platform	Reporting Period: 11-15-14 to 2-15-15 <i>(including SEP Activity Thru 2-22-15) (1)</i>
Visitors to the Marketplace Websites (2)	35,175,531
Calls to the Marketplace Call Center (3)	16,806,861
Number of Completed Applications	9,197,913
Number of Individuals Included in Completed Applications	12,410,323
Number of Individuals Determined Eligible to Enroll in a 2015 Plan Through the Marketplaces	10,721,940

- A combination of broad and targeted outreach strategies is key for reaching eligible families. Families learn about Medicaid and CHIP through multiple strategies including word of mouth, health fairs, community events, mass media, and healthcare providers. They have varied preferences about where and how to receive information. Broad based messages through mass media are effective in educating families about coverage, but targeted messages and efforts are important for reaching and enrolling hard-to-reach groups. As such, combining broad messages with more targeted outreach approaches, often through trusted community-based partners, is important. In particular, health care providers can serve as an important and trusted link to health coverage. In addition, having outreach materials and application forms available in plain language and in multiple languages may reduce enrollment barriers for individuals with limited English proficiency and low literacy.

- One-on-one enrollment assistance provided by trusted individuals within the community is a key component of successful enrollment efforts. Our experience is that direct one-on-one enrollment assistance is associated with increased enrollment rates. Such assistance can be

provided through multiple avenues. For example, through hospitals, clinics, schools, family resource centers, libraries, recreation centers, Mexican consulate, and other locations within the community. Community-based organizations are able to provide culturally competent and trusted assistance at convenient times and locations.

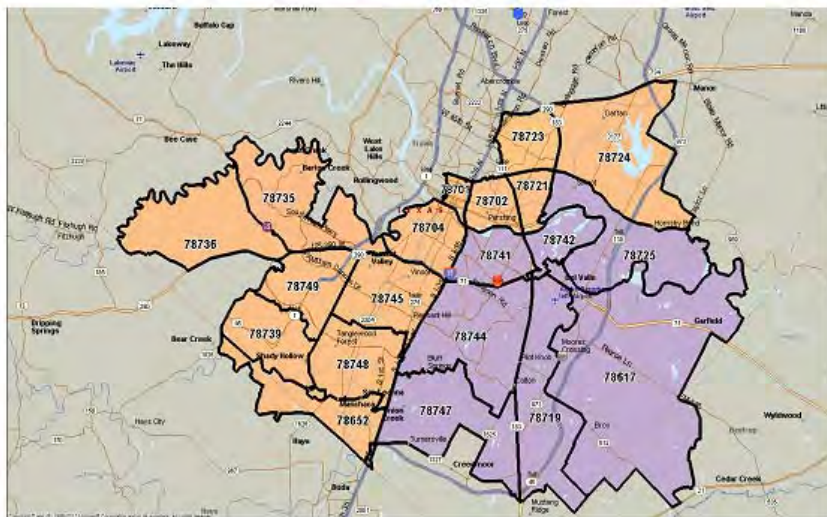
- Developing key partnerships with community-based organizations will be key to the success of this campaign and we already are in communications with at least 4 permanent sites, we will be doing regular times for enrollments; having permanent sites will increase the trust of the community and increase enrollments in the community. This kind of efforts also tend to develop trust amongst community members and increase enrollments and awareness do to the spread of information through word of mouth. During this upcoming campaign we will take advantage of our partnerships that we established during our first and second enrollment periods to continue the education, outreach and enrollment in our communities. We will conduct education in regards to health insurance literacy, as it has shown to increase enrollments and Insurance utilization. As part of our efforts we will continue to build our partnerships with privately owned tax centers, as we found it very useful to get the enrollment information to consumers as they were doing their taxes. As part of our partnership with Enroll America, we conducted various Phone-A-thons as we found that it was essential to follow up with interested consumers, if they wanted to enroll and keep their health insurance.

- Facilitating renewals of coverage is important for promoting stability of coverage over time. Gaps in Medicaid and CHIP coverage due to coverage losses at renewal increases costs and has a negative impact on health care.

**The components of the Latino HealthCare Forum’s targeted campaign, “Secure Your Health/Asegure Su Salud” approach is shown below:**

Secure Your Health/Asegure Su Salud Campaign. For the previous enrollment period, the LHCF used grassroots organizing methods and tactics as those used in political campaigns by using data to target key consumers to educate and engage and to take action to avail themselves of health coverage options. Data driven strategies were used to deliver effective messaging. Data was derived for the Secure Your Health campaign that focused on seven key zip codes where the majority of the uninsured lived. Partnerships were developed with community-based groups that serve the vulnerable and hard-to-reach minority populations in basic needs, housing, and health. Additionally, partnerships and collaborations were made with colleges, small business, health centers, tax centers, and other entities. Contact information was provided to our team who followed up with interested consumers. Other interested consumers through a parallel digital effort, through our, “Secure Your Health” website directed consumers to sign up for more information. A social media campaign was also launched as part of our efforts in order to keep the community informed of our activities and conduct health insurance

## Our Target Population – Travis County Uninsured Population



<b>8 Zip Codes</b>	<b>Target Population in the Selected Service Area</b>
50,188	Total Uninsured in the Targeted 8 Zip Codes
74.75%	Average % of Minority Populations in Targeted 8 Zip Codes
37,516	# of Uninsured, Based on Average %
<b>18,758</b>	<b>Target 1): Estimate: 50% of Minority Population for marketplace</b>
<b>5,228</b>	<b>Target 2): Average: One-third Spanish-speaking only</b>

### Target for Outreach, Education and Enrollment

- Primary Area (Purple) – 8 Zip Codes  
78617, 78702, 78719, 78725, 78741, 78742, 78744, 78747
- Targeting potential population through culturally competent, consumer driven marketing strategies, with multi-faceted campaigns with focus at local level
- Outreach tailored to meet needs of different groups of the uninsured, especially those who are hardest to reach, involving representatives from the targeted communities to assure that the message is responsive and culturally competent



- Facilitating outreach and education through public and private partnerships
- Ensuring access to care through person-to-person contacts

Outreach Elements. LHCF will build on its use of Community Health Worker/Promotores and their cultural and linguistic competency in working with “hard to reach” vulnerable populations. The target of LHCF’s campaign is the Latino uninsured in Travis County which is upwards of over 100,000 of which at least 50,000 qualify for the insurance marketplace and about 65% require assistance

The LHCF will target potential population through culturally competent, consumer driven marketing strategies, with multi-faceted campaigns with focus at local level through:

- Outreach tailored to meet needs of different groups of the uninsured, especially those who are hardest to reach, involving representatives from the targeted communities to assure that the message is responsive and culturally competent
- Facilitating outreach and education through public and private partnerships
- Ensuring access to care through person-to-person contacts
- Outreach and Education Components:
  - Identify and understand the eligible population
  - Increase public awareness
  - Increase understanding of eligibility
  - Educate individuals about the marketplace
  - Motivate individuals to take action to find out more about, or enroll in, the marketplace
  - Messaging: Always consider the audience: Whom are we trying to reach?
  - Families
  - Young adults
  - Specific racial, ethnic, religious, or cultural groups
  - Consider the best setting where we can engage our target audience and have a conversation about health insurance
- The best messengers to reach each of those groups
- Trusted organizations
- Community members
- Partner organizations
- Local health care professionals
- Communication
- Marketing materials
- Key messaging
- Advertising
- Events

- Flyers/Brochures
- Fact Sheets/Cards
- Posters
- Direct Mail
- Social Media

#### GOALS AND OBJECTIVES

<b>TARGET POPULATION FOR ENROLLMENT (ACS 2011)</b>	
<b>Uninsured</b>	<b>Travis County</b>
Primary Target Area - 8 Zip Codes	140,517
# 100% to 250% FPL	68,201
# Eligible for Insurance Marketplace	34,101
<b>Target Population for Consumer Assistance</b>	
Population needing and requesting Outreach and Education and potential enrollment – 30% of eligible for marketplace	<b>10,000</b>
<b>Target Population for Enrollment – 25% of population needing consumer assistance</b>	<b>2,500</b>

#### Target for Outreach

<b>8 Zip Codes</b>	<b>Target Population in the Selected Service Area</b>
<b>50,188</b>	Total Uninsured in the Targeted 8 Zip Codes
74.75%	Average % of Minority Populations in Targeted 8 Zip Codes
37,516	# of Uninsured, Based on Average %
<b>18,758</b>	<b>Target 1): Estimate: 50% of Minority Population for marketplace</b>
<b>5,228</b>	<b>Target 2): Average: One-third Spanish-speaking only</b>

The table below identifies outcomes, impacts, and performance measures for the proposed activities.

<b>Inputs:</b>	<b>People:</b>	<b>Activities:</b>	<b>Outputs:</b>	<b>Outcomes:</b>
<b>Outreach Campaign Planning &amp; Coordination:</b> Staff Hours- 1 FTE CHW	<b>Target Population:</b> # Uninsured in selected zip codes	<b>Campaign Planning:</b> Printed materials, fact sheets, social media messages, event fliers, exhibit displays, earned media	5 brochures 24 cents per month  Micro-website/ Facebook updated weekly T.V & Radio spots.	Increased awareness of ACA measured through pre and post surveys
<b>Outreach and Education operations:</b> <ul style="list-style-type: none"> <li>• Printing</li> <li>• Communications</li> <li>• Meetings</li> <li>• Travel</li> <li>• Cost</li> </ul>	<b>OES:</b> <ul style="list-style-type: none"> <li>•15 (PT) assigned</li> <li>•10 volunteers recruited</li> </ul>	<b>Outreach and Education assistance:</b> <ul style="list-style-type: none"> <li>•Presentations</li> <li>•Tabling events</li> <li>•Partnership events (Coalition)</li> </ul>	<b>Produced by outreach activities:</b> # of handouts # of referrals to enrollment specialists	Improved insurance literacy
<b>Enrollment:</b> <ul style="list-style-type: none"> <li>•Laptops/air cards</li> <li>•Sites</li> <li>•Training</li> </ul>	<b>OES:</b> <ul style="list-style-type: none"> <li>•15 (PT) assigned as enrollers</li> </ul>	<b>Enrollment activities:</b> <ul style="list-style-type: none"> <li>•Assistance via phone, walk-ins, appts., social media, website, mHealth application</li> </ul>	<b>Produced by enrollment:</b> <ul style="list-style-type: none"> <li>•Referral followed up</li> <li>•Average 462 enrollments per month</li> </ul>	<b>Short term:</b> # of people enrolled in health coverage <b>Medium term:</b> # more people access health services <b>Long term:</b> Improved overall population health and well-being

ACA Outreach and Enrollment Project				
Activities	Staff Lead	BeginMo/Yr	Due Mo/Yr	Notes
Confirm uninsured data and targets	Executive Director	Sep-14	Oct-14	
Develop partnerships with CBO/NGO/FBOs	Executive Director	Sep-14	Aug-16	On-going
Re-validate quality assurance standards	Operations Director	Sep-14	Oct-14	
Develop materials	Programs Director	Sep-14	Oct-14	Update in August 2015 for new enrollment
Train personnel	Admin Director	Sep-14	Oct-14	Update training in August 2015
Implement technology requirements	Operations Director	Sep-14	Dec-14	
Confirm outreach strategy for each target group	Programs Director	Sep-14	Nov-14	Quarterly review and update
Educate Public	Programs Director	Sep-14	Aug-16	
Enrollment Assistance	Enrollment Director	Nov-15	Aug-16	
Report Results	Executive Director	Dec-14		Prepare Monthly and Quarterly reports
End Project	Executive Director		Aug-16	

## Project Plan

The need for assistance to be delivered through trusted and known channels will be critical to building a culture of coverage to ensure as many consumers as possible enroll in and retain affordable health insurance. In the current market, many consumers need help navigating the complex health coverage market and programs. The barriers that must be overcome for individuals to take the steps to enroll in coverage are numerous: first and foremost, coverage is not affordable for many of the uninsured; health insurance is complicated; it is hard to compare benefit plans; finding and submitting required paperwork can be a challenge; people may not think they need health insurance. It will also take some time for people to recognize the Marketplace as a trusted and accessible source for coverage. For many of the market segments, including culturally and linguistically diverse, Limited English Proficient, low-literacy, and newly eligible populations, there are additional barriers to overcome. For these groups, single, mass media campaigns are often not enough to compel them to act. The need for assistance will be high during the early years, with some estimates ranging from 50% to 75% of applicants needing assistance to enroll.

**Guiding Principles.** The LHCF will be guided by principles that the overall outreach and marketing efforts:

- Establish a community-based program that reflects the cultural and linguistic diversity of the target audiences and results in successful relationship and partnerships.
- Ensure that the LHCF Community Health Workers (CHWs) are knowledgeable of both subsidized and non-subsidized health coverage and qualified health plans and that CHWs are equipped with the information and expertise needed to successfully educate and enroll individuals in coverage, regardless of the type of program for which they are eligible.
- Promote retention of existing insurance coverage in public programs, and the individual market, as well as in-employer based coverage.
- Identify incentive options that encourage different types of assisters to conduct activities that result in the successful enrollment of the target audiences into health care coverage.
- Establish quality assurance standards and protocols that:
  - Ensure enrollment goals are met
  - Maintain program integrity
  - Prevent conflicts of interest
  - Ensure a high quality consumer experience
  - Promote a positive perception of the ACA and the Marketplace
- Design the LHCF's program to make the transition toward a Marketplace that provides a seamless, "no wrong door" consumer experience regardless of program eligibility.



- The LHCF will leverage existing public and private health distribution channels and funding sources outside the Marketplace to achieve enrollment goals, while maintaining common program standards for all individuals assisting with enrollment in Marketplace products.
- The LHCF will not work for any health plan and promote any health plan and will adhere to rules about conflict of interest standards. The LHCF's CHWs may not be compensated for enrollment in Marketplace products by health insurance carriers.
- The LHCF program will adhere to standards providing culturally and linguistically appropriate services and services that are meaningful and accessible to persons with disabilities in accordance with the Americans with Disabilities Act and Section 504 of the Rehabilitation Act.
- While the LHCF CHWs may elect to target specific populations such as specific cultural or linguistic groups, low-income consumers, college students, or other market segments, the LHCF will be prepared to serve all eligible consumers regardless of program or product liability.
- The LHCF CHWs will adhere to a code of conduct, confidentiality and guideline agreements.

**LCHF OUTREACH AND ENROLLMENT SPECIALISTS.** The primary targets of the LHCF's outreach and education efforts are the estimated 210,000 Travis County residents who are uninsured. The LHCF has a school called PromoSalud that trains community health workers/Promotores and will use this workforce of mostly bi-lingual persons to educate Spanish and non-Spanish speaking Travis County residents about the insurance marketplace and in-person assistance to select a qualified health plan. The LHCF will reach out, engage and educate underserved populations, providing a bridge to their becoming insured and hopefully increasing their access to quality care and improving and maintaining their health and well-being.

The effort will involve the extensive use of community health workers (CHWs) and Promotores, lay community outreach workers as Outreach and Enrollment Specialists trained to understand health insurance. Texas is one of a few states where CHWs are required to be State certified with a curriculum and minimum of 160 classroom hours. The LHCF supplements these hours with another 90 hours with instruction on insurance plan eligibility including Medicaid, Medicare, the local sliding scale Medical Assistance Program, and other insurance programs. The CHWs are knowledgeable of both subsidized and non-subsidized health coverage and qualified health plans and the CHWs are equipped with the information and expertise needed to successfully enroll individuals into coverage. Background clearance for CHWs is provided to ensure consumer protection and disqualify dishonest individuals from being a Navigator for the marketplace.

Additional CHWs as needed will be recruited using the networks that the LHCF has developed. Currently the LHCF has a waiting list for CHW candidates. The recruitment activities will include: 1) outreach across the Central Texas region through letters, newsletters, ads, presence at conferences; 2) targeted outreach to existing assistance resources/enrollment entities, and other groups; 3) informal community based networks using community leaders to recruit additional CHW candidates that can be trained as CHWs and trained for the Marketplace. LHCF OES will be robust enough to ensure access to all target markets, including newly eligible, cultural and linguistic groups who would not enroll without assistance, and all geographic regions. Navigators will be recruited to ensure that:

- There is geographic access to in-person assistance in Travis County
- Hard to-reach groups, especially cultural and linguistic groups, have access to in-person assistance.
- Newly eligible have access to assistance through channels that are familiar and aligned with their preferences

**Target Strategy.** Targeting will be based on opportunity. Outreach and enrollment resources will be more heavily targeted where the greatest opportunity exists. A county analysis of eligible uninsured individuals to identify which geographic areas have the greatest opportunity by market segment should inform the recruitment strategy. Penetration rates will be analyzed within the County by ethnicity and by other market characteristics on a regular basis to inform recruitment efforts.

In the first phase of the project, the OESs will identify and educate potential enrollees about their insurance eligibility and options under the Insurance Marketplace. The OESs will explain health-care terminology such as co-payments, premiums and how to select the health-care plan that is best for them. They will use a variety of community engagement tools, visiting schools, churches and community centers and colleges, reaching out with everything from social media to booths at flea markets and health fairs. In the next phase, the LHCF OESs will re-contact those individuals and encourage them to enroll in the marketplace.

The LHCF project manager will ensure that information delivered to the targeted populations is culturally and linguistically appropriate.

The LHCF will provide accurate messages about the marketplace to the thousands of Latinos with limited English proficiency and those who may be skeptical about the services. The goal of the LHCF is to increase the number of Texans with health insurance, improve the quality of health-care, reduce health-care coverage costs and ensure that Texas' diverse population has fair and equal access to quality health care. According to a recent study from Rice University the Texas uninsured population remains predominantly Hispanic, middle-aged, undereducated and poor

**"HOUSTON – (July 30, 2015)** – Texas' uninsured population remains primarily Hispanic, middle-aged, with low incomes and no college degree, according to a new report from Rice University's Baker Institute for Public Policy and Episcopal Health Foundation. The report, "Characteristics of Uninsured Texans as of March 2015," compared the characteristics of the uninsured population in Texas before the opening of the Affordable Care Act (ACA) Marketplace in September 2013 and at the end of the second ACA enrollment period in March 2015. While the overall percentage of uninsured fell from 24.6 percent to 16.9 percent, the characteristics of the uninsured population showed little change. The uninsured population remains primarily middle-aged (between ages 31-49), Hispanic, low income (at or below 138 percent of the federal poverty level), and without a college education". (Rice University Office of Public Affairs / News & Media Relations)

**Target Audiences.** The Marketplace will serve all eligible populations, but outreach and marketing efforts will focus on individuals and families with incomes up to 250% of the Federal Poverty Level (FPL). Most of the uninsured people will need to be reached through the communication and outreach program. Our targets are those that are eligible for: 1) any subsidized program (marketplace subsidy, Medicaid, Medicare, etc. and; 2) non-subsidized individual marketplace. In Travis County there are approximately 210,000 uninsured and of those it is also estimated that as many as 147,000 currently uninsured vulnerable and hard-to-reach minority Travis County residents between 100% and 400% of the federal poverty level will be required to purchase health insurance and will also be eligible for tax credits and cost sharing assistance. The LHCF is in the process of developing and validating demographics and other characteristics by FPL.

Given the priority targets noted, the LHCF is broadly looking at the following target groups to ensure reach of the Marketplace subsidy and non-subsidy populations. These groups may indeed have different needs and motivations, and therefore, will need different messages, outreach strategies and delivery systems to prompt them to seek health insurance coverage.

**Women:**

Based on current data, women will be a critical target for this effort. The target group is age 18-49 but there are many with a large segment age 18-34. Single mothers and working women representing multiple ethnic groups provide additional micro targeting in the female group, but Latinos make up a large portion of the target. The prevalence of women is highest in the lower income plans.

**Young Adults:**

The current data shows that the young adult market is disproportionately white. While most targeting efforts will be designed to reach young men and young women, young men (age 18-34) will be a core target group. Again, this subgroup is multi-ethnic and may be under the age of 26 and just off parental health coverage. Many working people may be hourly, part-time or temporary employees without benefits. Our data shows that 28% of the uninsured are college students.

**Older Adults:**

Another broad target group is adults ages 35-64. While this group includes a balance of men and women, the data shows that older adults are disproportionately single. Again this group is made up of multiple ethnic groups. This group may include working poor or some people who have experienced layoffs/loss of insurance in the past several years.

**The importance of Latinos.** Studies show that the majority of Texas's uninsured are Latino. Approximately 50% of the current uninsured are Latino. Reaching Latinos will be critical to the success of the Marketplace in Travis County. Latinos make up over 34% of Travis County and over 38% of Texas population. There are four critical issues to consider when planning for any successful outreach in the Latino community.

- Make sure data for the Latino population is accurate and provided by trusted sources and that is culturally relevant and in-language when appropriate.
- Use outreach techniques that recognize the unique needs of different demographics within the Latino community (i.e., older Latinos vs. younger Latinos, acculturated vs. recent immigrants, in-language vs. bi-lingual).
- Use technology (i.e., smart phone applications and social media) to reach the younger Latino community. The LHCF has extensively used mobile phones in combination with CHW assistance in various health campaigns. Latinos are the highest ownership (91%) and proportional use of mobile phones. The LHCF has an in-house Chief Technology Officer that will provide planning for the effective use of mobile phone. The LHCF's Director of Communications will set up a blog devoted to the Marketplace. The Latino population is the highest Facebook user in the country, the LHCF will continue using the social media as an integral part of outreach and education during open Enrollment 3.
- The outreach approach cannot be single-minded or single messaged because even though the language unites the Latino community, its citizens represent different cultures.

Travis County small business (2-50 employees) and other employers:

Small business owners and entrepreneurs are another important target as a majority of the uninsured are employees of a small business. Educating small business owners about the Marketplace is crucial, and their enrollment and the use of the Marketplace is critical for

success, but just as important will be reaching out to small businesses as a way to find the uninsured.

The following chart outlines some vehicles for outreach and education.

Target Demographics	VEHICLES FOR OUTREACH AND EDUCATION					
	CBO/NGO/ FBO Partnership	Earned Media	Events	Social Media	Elected & Influencer	Provider Channels
Young Females	✓	✓	✓	✓	✓	
Young Males	✓		✓	✓	✓	
Females with Children	✓	✓	✓	✓	✓	
Older Males & Females	✓		✓	✓	✓	✓
Latino Spanish Language Dominant	✓		✓	✓	✓	✓
Latino English Language Dominant	✓		✓	✓	✓	✓
African American	✓	✓	✓	✓	✓	✓
Asian	✓	✓	✓	✓	✓	✓
Native American	✓		✓	✓	✓	
LGBT	✓		✓	✓	✓	✓
Other Languages	✓		✓	✓	✓	
<b>Additional Large Population Targets</b>						
Restaurant Workers		✓	✓	✓	✓	
Students		✓	✓	✓	✓	
Building & Construction Trades		✓	✓	✓	✓	
Small Business	✓	✓	✓	✓	✓	

**Partnerships.** Partnerships are a key outreach strategy. In a state as geographically, ethnically and culturally diverse as Texas, securing the help of a large number of public and private sponsors is critical. Within this multifaceted public awareness, education and outreach campaign, a variety of public and private sector partners will play a crucial role as trusted and credible sources of information and counsel to our target communities. The LHCF will have specific and dedicated outreach plans for the most critical audiences of Latinos, African Americans and other communities and our partnerships will be used to extend the marketplace programs to other important diverse and underserved populations to further make up our targets that insurance.



Our plan to work for partnerships is to work with community-based organizations, faith-based organizations, non-governmental organizations and other organizations as well as specific multicultural partnerships in a pro bono relationship. The top partners for partnerships are:

- Central Health which is the county's taxing public health authority. The principal of the LHCF is a former Vice-Chair of the Central Health board and through his involvement in the community's healthcare affairs, the LHCF has developed a good working relationship with Central Health including doing extensive consumer engagement work for the agency.
- Current health care providers to the targets (e.g. FQHCs, clinics, Planned Parenthood, etc.)
- Trade and small business associations.
- Community-based organizations (CBOs), Non-governmental organizations (NGOs) and Faith-based organizations (FBOs) serving multi-ethnic populations.
- Retail (pharmacies, grocery stores, ethnic markets, etc.)
- Education (K-12 education, community colleges)

**CHW Approach.** Central Texas benefits from the Latino HealthCare Forum's network of CHWs – over 50 Certified Health Workers, who have already provided the essentials of insurance plan eligibility and outreach training. In developing a plan for assistance, it is important to develop a program that results in “no wrong door.” Because there are not enough Federal Funds for Navigators, the LHCF will leverage other public dollars. Central Health, the County Healthcare Authority provided previous funding for the LHCF's CHWs for the previous Insurance Marketplace period to assist with outreach and enrollment into the Marketplace. The LHCF will determine if they are interested in building upon the City of Austin's ACA Community Outreach and Enrollment Program.

**Outreach.** The CHWs as Navigators will be divided into two types of activities. One OES group will drive consumers to outreach, education, and enrollment activities. The other group will provide for in-person assistance for enrollment into a qualified health plan. Our group will also be certified under the Centers for Medicaid & Medicare Services (“CMS”) which manages and oversees the Federally-Facilitated Exchanges (“EFEs”) as a designated Certified Application Counselors (“CACs”). This certification through the Federal Marketplace will enable our Promotores to assist consumers in understanding new programs, taking advantage of consumer protections, navigating the health insurance system to find the most affordable coverage that meets their needs in a culturally and linguistically competent way, due to the diverse make up of our CHW team.

**Group 1- Community Outreach Network**



**Group 2- CHW In-Person Enrollment Assisters**



**Services and Product Specialization.** The LCHF's Program will provide a specified set of enrollment services, including outreach, education, eligibility, enrollment, retention, and utilization services. The required services will include education, eligibility and enrollment activities. Retention services are important as it will mitigate disenrollment rates but the process could include potentially complex assistance to consumers regarding for example, the reconciliation of tax credits, so the LCHF will have to determine later what support might be available for such services.

The LCHF will build on and leverage existing resources, networks and channels to maximize enrollment into health care coverage, including close collaboration with state and local agencies, community organizations, businesses, and other stakeholders with common missions and visions. Marketing and outreach strategies will reflect and target the mix and diversity of those eligible for coverage. The LCHF already has a CHW network and is a "trusted" assister that reflects the cultural and linguistic diversity of the target audiences.

#### Media Coverage

Our "Secure your Health/Asegure su Salud" campaign got a lot of local and national attention, due to the strategies and the fact that we were reaching the hard to reach populations in our city. The use of best practices and the use of Community Health Workers "Promotores" with cultural and linguistic competency were some of the points highlighted in the stories. The LCHF received the Disparities Leadership Award by the Massachusetts General and Harvard Medical School, for their work and breadth and impact using disparity tool and skills. We were also recognized as "Champion for Coverage" by the United States HHS Secretary Kathleen Sebelius. National News outlets also highlighted our efforts The New York Times, NBC News, NPR also highlighted our efforts and the Steve Adler, Mayor of Austin promoted our efforts with a PSA both in English and Spanish in order to promote our Kick off campaign at City hall and our 3 day Enroll-A-Ton at our office in the Montopolis Neighborhood.





12:00 AM  
September 25, 2013

## LHCF Recognized as a "Champion for Coverage"

United States HHS Secretary Kathleen Sebelius acknowledged the LHCF and 19 other organizations for being "Champions for Coverage."

[View on Twitter](#)

Press Release: "Champions for Coverage join Obama administration's effort to help Hispanic Americans understand the Health Insurance Marketplace"

HOME SEARCH

The New York Times

U.S. | THE TEXAS TRIBUNE

## For Aid Insuring Latinos, Groups Look Close to Home

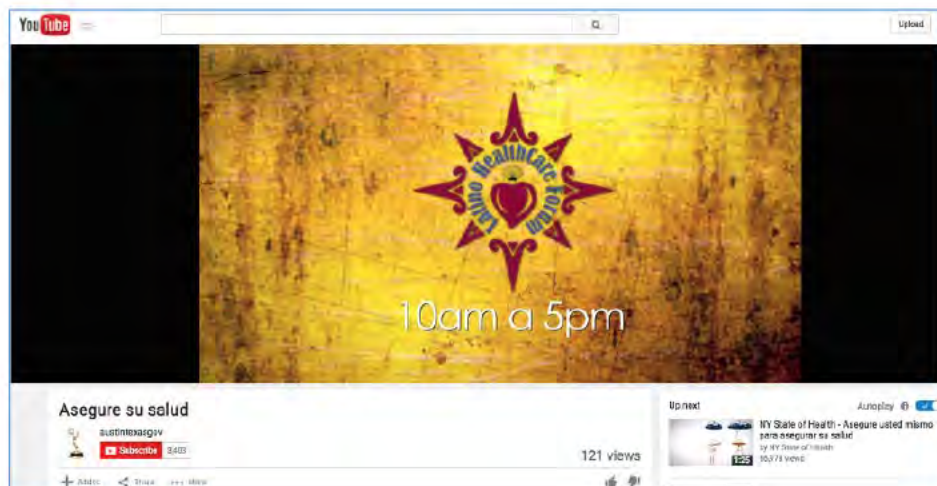
By BECCA AARONSON OCT. 12, 2013



Jill Ramirez of the Latino Health Care Forum talked to Jesse Zavala about the Affordable Care Act in Austin. He said he knew little about the law. Spencer Selvidge for The Texas Tribune







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Over the weekend at the Latino HealthCare Forum, a nonprofit in Austin's predominantly Latino Montopolis neighborhood, a "Last Chance 3 Day Enroll-a-Thon" drew a mix of mostly Mexican American and Spanish-speaking immigrant families who filled every corner of the small center's space. Workers offered coffee and refreshments. Outside, a Spanish-language radio station set up a remote broadcast, regularly alerting listeners to the enrollment deadline.

**"IT'S VERBAL, IT'S FACE TO FACE, BEING OUT IN THE FIELD, BEING WHERE THEY WORK, WHERE THEY PLAY AND THEY PRAY. YOU GOT TO HAVE BOOTS ON THE GROUND TO ACHIEVE THAT," SAID LATINO HEALTHCARE FORUM'S FRANK RODRIGUEZ. BUT MINING THOSE CULTURAL TIES IS NOT A SIMPLE TASK.**

Texas's state government continues to oppose the health law. But [Steve Adler](#), Austin's new mayor, has helped to promote the insurance marketplace, including filming TV ads publicizing an enrollment event at City Hall. Adler says he's doing more this year to keep sign-up numbers growing.

"I think the city needs to continue to do what's necessary to ensure that its population is insured," Adler says. "And right now, spending our resources to help get people insured ultimately reduces the tax burden on its citizens."

The city is also dispersing funds to a couple of nonprofits that are working downtown to enroll Latinos in health plans.

"This was a first for Austin," said Frank Rodriguez, the executive director of one of those nonprofits, the [Latino HealthCare Forum](#). "Last year the city did not fund any activity and I think they came to the realization that they play a central role in the community's health care."

New York Times Story - [http://www.nytimes.com/2013/10/13/us/for-aid-insuring-latinos-groups-look-close-to-home.html?\\_r=2&](http://www.nytimes.com/2013/10/13/us/for-aid-insuring-latinos-groups-look-close-to-home.html?_r=2&)

Original NPR story - <http://www.npr.org/sections/health-shots/2015/02/10/384227965/insurers-and-austin-mayor-promote-obamacare-to-texas-latinos>  
Mayor's YouTube PSA:

NBC News - <http://www.nbcnews.com/news/latino/ca-despite-lack-legal-status-2-latinos-will-be-part-n404371>

Other News

<http://khn.org/morning-breakout/as-clock-ticks-down-to-enrollment-seasons-close-federal-call-center-wait-times-increase/>

Link to Disparities award - <http://www.latinohhealthcareforum.org/es/noticias.html>

## EVALUATION PLAN

The LHCF's evaluation will be provided through monthly and quarterly reports that cover those reportable activities from the subject period. Activities during this period will include:

- Scheduling of outreach staff participation in targeted areas and stakeholder groups events.
- Active participation in both scheduled events and other outreach opportunities indicated by LHCF staff.
- Active participation in sponsored events and local business customer support initiative
- Distribution of select supplies of printed material to include both English and Spanish printed materials
- Individual events are reported in which the LHCF/Secure your Health outreach staff participated. These events will reflect the unique makeup of the targeted community area and its population and the participation at these events
- Partnerships events for outreach efforts to make sure to capture and take advantage of the large number of the targeted population congregating at these same events and the use of broadcast shows to reach a specific targeted audience.
- Translation Services Provided at Events through our bi-lingual staff available at all events. Much of the translation requirements reflect a continued need to understand the nature of the terms used in the health insurance industry such as deductible, premiums and co-payments.
- Type of Collateral Materials Used. Collateral materials will be identified that include those made available thru the Federal - Healthcare.gov sources as well as materials developed the LHCF. This will include a map reflecting all the local navigators (211 Central Health Resource Map), enrollers and resources to help local residents understand and access health care resources under the Affordable Care Act as well as a double-sided contact number card.
- Marketing campaign activities and products to attract people to visit our booths, including pieces of swag with logos including; balloons, pens, sticky note pads, hand sanitizers, and jar openers.
- Referrals to Assistors through referrals were made to local ACA resource entities capable of providing either English and/or Spanish populations with direct assistance in the enrollment process.
- Description of barriers, challenges, and how they were overcome
- Printing of Secure Your Health ADA Marketplace Informational Pieces (English and Spanish Versions including individual customized collateral pieces in both Spanish/English adapted by the LHCF staff for local use
- Description of successes through testimonials, photos, videos.
- Outreach and related Media Coverage

An outreach and education sample report is shown below:

## APPENDIX A – BUDGET JUSTIFICATION

ATTACHMENT B			Secure Your Health Campaign / Latino Healthcare Forum					
Outreach and Education Performance Monthly Report								
	Report Due:			February 1st 2014 thru February 28th 2014				
	Date Range of Activities Reported:							
Events include name of events	# of Sessions	Locations	Translation services provided	Type of collateral materials used	Target Audience	Number of Attendees	Narrative of Event	# of Referrals to Assistors
Community Event	1	Palm Elementary Health Fair 7601 Dixie Drive	Spanish/English	Central Health Contact# Card (Bilingual), United Way 211 Resource Map (Bilingual) and copies of Healthcare.gov bilingual materials off the net	76744	200	Parent Support Specialist Meeting with parents - PPT presentation on ACA.	8
Community Event	1	Sunday Funday North Austin Event Center 10601 Lamar	Spanish/English		76723	100	Community Event - local neighborhood activities and educational / informative initiative.	4
Community Outreach	1	Hope Farmer's Market 412 Comal Street	Spanish/English		76702	100	Farmers Market with opportunity for health related activities and information distribution and one on one discussion	40
Business Community Outreach	1	Montopolis Plaza Flea Market 1313 Montopolis	Spanish/English	*	76741	90	Community Event - local neighborhood activities and educational / informative initiative.	90
Business Community Outreach	1	Flea Market 700 Montopolis	Spanish/English	*	76741	55	Community Event - local neighborhood activities and educational / informative initiative.	55
Community Event	1	El Buen Samaritano Cultural Strategies 7000 Woodhue	Spanish/English	*	76745	20	Community Event - local neighborhood activities and educational / informative initiative.	5
Community Outreach	1	Hillcrest Elementary School Donuts with Dad 6901 E William Canon Drive	Spanish/English	*	76744	150	Parent Support Specialist Meeting with parents - PPT presentation on ACA.	6
Community Outreach	1	Southwest Key Programs Capital Area Food Bank6002 Jain Lane	Spanish/English	*	76702	200	Farmers Market with opportunity for health related activities and information distribution and one on one discussion	200
Community Event	1	Dove Springs Food Distribution 5801 Almez	Spanish/English	*	76744	30	Food Bank for healthy eating efforts in a neighborhood setting	8
Business Community Outreach	1	Riverside Washateria 6100 E Riverside	Spanish/English	*	76741	22	Local small business effort to promote health to employees and customer base	22
Business Community Outreach	1	Walgren's 1144 Airport Blvd	Spanish/English	*	76702	78	Local small business effort to promote health to employees and customer base	78
Community Outreach	1	Martin Middle School 1601 Haskell	Spanish/English	*	76702	50	Parent Support Specialist Meeting with parents - presentation on ACA.	5
Community Event	1	Creedmore Elementary School Cultural History Night 5604 Farm Road 1327	Spanish/English	*	76610	50	Parent Support Specialist Meeting with parents - presentation on ACA.	4

## APPENDIX A – BUDGET JUSTIFICATION

**Total Budget: \$200,000**

**a. Personnel Salaries - \$353,600**

Salaries are budgeted for 10 LHCF CHW personnel and 2 Administrative staff working on the project at different salaries for less than 40 hours per week. All salaries are monthly average salaries for the contract period. The following staff will work on the project:

= **Executive Director** - Full-time salaried position certified as a Community Health Worker. Current responsibilities include the administration and management of the project including contract compliance and reporting requirements. Will manage certain outreach activities for population targets.

*1 Executive Director x 24 months x 50% of monthly salary = \$41,600*

= **Outreach Coordinator and Enrollment Director- Salaried Positions.** Outreach Coordinator develop, market, & administer outreach programs in the community and oversee and direct the work of the CHW and outreach and education activities. Enrollment Director oversees the work of CHWs managing enrollment activities.

*1 FTE Outreach Coordinator x 24 months x 50% of monthly salary = \$41,600*

*1 FTE Enrollment Coordinator x 24 months x 50% of monthly salary = \$41,600*

= **Communications Director (FTE).** Salaried position. Designs and/or coordinates the development and design of outreach program materials and/or printed graphic materials. Creates complex, original graphic design and comprehensive layout concepts, and oversees and coordinates production of materials. This position will provide outreach support, which will serve as a rich source of additional information to further potential enrollees involved in the program

*1 Communications Director x 24 months x 25% of monthly salary = \$10,500.00.*

**Administrative Director (FTE) also certified as CHW.** Salaried position. Responsible for recruiting CHWs, screening candidates, performing criminal background checks on all employees, interns, volunteers, contractors, providing confidentiality statements, and responsible for managing outreach activities for certain population groups. Assisted by Administrative Clerk.

*1 Administrative Director x 12 months x 50% of monthly = \$41,600.*

*1 Administrative Assistant x 25 months x 50% of monthly salary = \$13,000.*

= **Community Health Workers/Promotores- Salaried Positions.** CHWs to provide all outreach, education and enrollment activities for potential enrollees. Navigators will work independently on select population targets.



*7 FTE CHWs x 24 months x 75% of monthly \$monthly salary = \$174,720*

**b. Personnel Fringe Benefits = \$74,963**

= FICA Social Security and FICA Medicare are budgeted for all positions. TUCA and worker's compensation are also budgeted for each of the positions. No other fringe benefits are shown.

*Total Salaries x .0765 FICA + Total Salaries x .0211 Workers Compensation = \$74,963*

**c. Personnel Travel = \$8,500.**

= Travel expenses are being budgeted for travel between outreach sites and the LHCF

*IRS Standard Business Mileage Rate per mile x 1,958 miles driven = \$8,500*

**d. Equipment = \$3,000.00**

=Equipment is budgeted for lease/purchase of a laptop computers and small copier to support the CHWs in the field.

Laptop computer and copier = \$3,000

**e. Materials and Supplies= \$35,963**

= Office supplies to support outreach activities. This estimate is based on similar delivered outreach campaigns for outreach and engagement programs. The estimate also includes preparation of an in-house newsletter and layout to distribute to distinct population groups.

*Supplies = \$35,963*

**h. Other Costs = \$5,625**

=Additional office space is budgeted to accommodate expanded staff.

*Other costs = \$5,625*

**APPENDIX B – ORGANIZATIONAL INFORMATION**

The Latino HealthCare Forum (LHCF) is an Austin, Texas community-based nonprofit formed to improve the health of all Texans by assuring their access to affordable high quality care. The

mission of the LHCF is to increase the number of insured Texans, improve health care quality, lower costs, and reduce health disparities. The LHCF holds relevant certifications as follows:

- Certified by the State of Texas Health Services Department as a Community Health Worker Training Program
- Certified by the State of Texas Health and Human Services Department as a Community Partner
- Completed Disparity Training Program administered by the Harvard Medical School and Massachusetts Hospital
- Certified as a Champion for Coverage by the Centers For Medicare and Medicaid Services

Through consumer focused outreach activities the LHCF empowers consumers to choose health insurance plans that give them the best value.

The LHCF has been involved with using a range of mechanisms can be employed to engage community residents and/or representatives of the community. Disenfranchised communities must have a genuine voice in the planning and implementation of projects. Community engagement provides a mechanism for cultivating this voice and maximizing the likelihood that the outcome reflects its input. Engagement can happen in many ways: through quasi-governmental entities; non-governmental organizations such as community health councils; and community-led processes such as door-to-door surveys. Through engagement, stakeholders learn information, provide valuable input and data, offer solutions, question assumptions, and communicate with neighbors.

The LHCF has used concepts of community organizing and empowerment as vital long-term strategies that can strengthen community cohesion and support community social networks, therefore building social capital. The LHCF has also used effective organizing as an engagement technique by providing training to affected community members to become certified Community Health Workers (CHWs). These CHWs become focused on improving the health of their communities. At its strongest, community engagement begins by building relationships early in planning processes, providing consistent opportunities for community input, offering ongoing mechanisms for decision-making by community participants and demonstrating tangible ways in which community input influences outcomes. The LHCF believes it is a “trusted” organization that it is successful as a community based health organization renowned for its use of the Promotores model of community development, and has been at the forefront of community engagement in the health and healthcare areas.

**Expertise of personnel.** The LHCF has 14 full-time administrative staff including an Executive Director; Administrative Director; Consumer Engagement Director; Technology Director; and, Operations Director. All the Executive Team is certified as Community Health Workers. The LHCF through its PromoSalud program employs Community Health Workers and depending on

the project and campaign has employed over 50 LHCF trained Promotores in various outreach activities. For over 8 years, the LHCF Executive Director was a former Vice-Chair of Travis County Healthcare District, known as Central Health which administers a public hospital, 27 clinics, with various payers including Medicaid, CHIP, and Medicare and sliding fee payments. The Administrative Director was a former Human Resources Director for the Peoples Community Clinic. The LHCF's Advisory Board consists of three Medical Doctors, a Pharmacist and a Professor at the University Of Texas School Of Public Health.

#### APPENDIX C – DOCUMENTATION OF NONPROFIT STATUS

Corporations Section  
P.O. Box 13697  
Austin, Texas 78711-3697



Hope Andrade  
Secretary of State

**Office of the Secretary of State**

**CERTIFICATE OF FILING  
OF**

Latino HealthCare Forum  
File Number: 801439623

The undersigned, as Secretary of State of Texas, hereby certifies that a Certificate of Formation for the above named Domestic Nonprofit Corporation has been received in this office and has been found to conform to the applicable provisions of law.

ACCORDINGLY, the undersigned, as Secretary of State, and by virtue of the authority vested in the secretary by law, hereby issues this certificate evidencing filing effective on the date shown below.

The issuance of this certificate does not authorize the use of a name in this state in violation of the rights of another under the federal Trademark Act of 1946, the Texas trademark law, the Assumed Business or Professional Name Act, or the common law.

Dated: 06/15/2011

Effective: 06/15/2011



A handwritten signature in black ink, appearing to read "Hope Andrade".

Hope Andrade  
Secretary of State

Phone: (512) 463-5555  
Prepared by: Clarissa Rodriguez

*Come visit us on the internet at <http://www.sos.state.tx.us/>*

Fax: (512) 463-5709  
TID: 10306

Dial: 7-1-1 for Relay Services  
Document: 372530420003

**From:** [Frank Rodriguez](#)  
**To:** [Mayor Adler](#)  
**Subject:** Re: RECENT UNINSURED RATES RELEASED & NAVIGATOR ANNOUNCEMENT  
**Date:** Friday, September 18, 2015 8:24:35 AM

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This is really good news! Central Texas has been without a Federal navigator. Last year, the Feds gave out a little amount to an obscure group, but this grant is a multi-year grant and the LHCF competed nationally to win this award. The federal stats released yesterday show that even though the national uninsured has dropped significantly, Texas continues to have the highest uninsured, and in particular, the highest Latino uninsured. Last year, the LHCF made some headway but much more needs to be done. Almost half of Latinos are uninsured in Travis County and half of those qualify for ACA insurance.

For your information, when the City ACA grant was awarded for the first time last year, the LHCF was awarded \$200k and Foundation Communities (FC) \$100k. The service models are different...FC uses volunteers at a certain locations and asks people to come to them and focuses on re-enrollments; while LHCF has boots on the ground and goes to the people where they work, play, etc. and focuses on hard to reach, vulnerable population that sometimes has mixed households (documented and undocumented). I was involved in the process and there was an understanding that this was a multi-year award for both FC and LHCF, but because last year's process and the funding decision was done in the Council's convoluted budget process and this wasn't picked up clearly. Though, the previous Director and I had an understanding.

Yesterday, Council awarded Foundation Communities additional ACA money based on last week's budget decision. When the LHCF inquired about their portion, HHS told them that they would have to go through an RFP process, even though Foundation Communities didn't. The enrollment period is only three months so this really kills the opportunity to enroll folks.

Needless to say, the LHCF folks, Quality of Life, Raza, etc. were ready to go to Council and ask Council to pull the FC item. I advised that no one should slow the process down for the community to get needed services and that they needed to talk to upper management to straighten this out. They were supposed to get a phone call from upper management yesterday afternoon and they didn't so they may be back next week to Council. CM Renteria is assisting them with this issue. They're feeling they are getting disparate treatment. I'm staying out of this except to urge that all parties should be communicating. FMR

--  
 Frank Rodriguez  
 P.O. Box 1271  
 Austin Texas 78767  
 [REDACTED]

On Sep 17, 2015, at 7:42 PM, Adler, Steve <[Steve.Adler@austintexas.gov](mailto:Steve.Adler@austintexas.gov)> wrote:

Director of Community Engagement  
 Office of the Mayor, City of Austin  
 512.978.2126 (o)



(m)

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**From:** Chelsea Brass [REDACTED]  
**Sent:** Thursday, September 17, 2015 4:19 PM  
**To:** [REDACTED]  
**Subject:** RECENT UNINSURED RATES RELEASED & NAVIGATOR ANNOUNCEMENT

We would like to let you know that the Latino HealthCare Forum is the recipient of the federal Affordable Care Act Navigator grant; the only organization based in Central Texas to receive the honor this year. Tomorrow Congressman Lloyd Doggett will issue comments regarding the award as well as the opening of our new Center for Healthy Communities (CHC), to reflect the expanded vision and mission to include more diverse groups of vulnerable populations.

Additionally, the recent release of the new Census reports on the status of uninsured populations included these high-level points:

- \* In 2014, Texas had the highest uninsured rate in the nation, at 19%.
  - \* From 2013 to 2014, the uninsured rate in Texas dropped roughly 3%.
  - \* From 2013 to 2014, the uninsured rate of Whites dropped roughly 2% while Blacks, Asians, and Hispanics dropped roughly by 4%.
- (Source: <http://www.census.gov/newsroom/press-releases/2015/cb15-157.html>)

We are including an infographic regarding the uninsured if you wish to share with your networks, as well as a media advisory regarding our navigation grant announcement.

Chelsea Brass  
Chief Strategy Officer  
Latino HealthCare Forum  
[REDACTED]  
(512) 626-3580

<Texas Uninsured Rates 2013 to 2014.pdf>

<Doggett Navigator Grant Media Advisory 09.17.15.pdf>

From: [Frank Rodriguez](#)  
To: [Mayor Adler](#)  
Cc: [Varghese, Lesley](#)  
Subject: Fwd: Budget  
Date: Sunday, August 21, 2016 10:50:01 AM  
Attachments: [final for Frankie Budget%20Proposals%20Draft%20July%2028.xlsx](#)  
[ATT00001.htm](#)

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This is the H/LQofL list. I need to vet these with Pio to much sure he is Ok and the list should probably come from him after he approves. FMR

--  
Frank Rodriguez  
P.O. Box 1271  
Austin Texas 78767  
[REDACTED]

Begin forwarded message:

From: [REDACTED]  
Date: August 20, 2016 at 7:19:14 PM CDT  
To: "Frank Rodriguez" [REDACTED]  
Subject: Budget

I decreased from all except ACA and dropped anything that Pio exed out. I went a little over, but not that much.

thanks,  
jill



Commissioner		Project Title	Budget	Project Summary		Monitors	Second	Vote
2016/02/22 004.91	Guerra	Teen Pregnancy Prevention Task Force	\$35,000	This proposal would fund a non-governmental organization to lead a community task force that would develop a five year strategic plan on teen pregnancy prevention for Travis County. This strategic plan would operationalize the recommendations in the Healthy Youth Partnerships May 2015 report, "Mixed Messages: The Current State of Teen Pregnancy Prevention in Travis County" by detailing specific strategies that stakeholders would take to create a community wide plan for teen pregnancy prevention and would include budget amounts for the different strategies. The plan would address teen pregnancy for all racial/ethnicities, not just Hispanic/Latinos. The funding amount would cover staff time, refreshments for lunch and dinner meetings, materials, and strategic plan report preparation		Llanes Pulido	Lopez-Aguilar	All
2016/02/22 004.92	Llanes Pulido	Language Interpretation/Translation (ENHANCED FUNDING)	\$	Increase budget for translation and interpretation citywide. Additional funding is needed for all city departments that interact with language minority communities. The Asian American Quality of Life Advisory Commission encourages the City Manager to increase the available budget for translation and interpretation services. The Asian American Quality of Life Advisory Commission approved a similar recommendation, here below is the language. Whereas, many non-English speaking citizens face significant challenges obtaining City services through City Departments, now, therefore, be it resolved, that the AAQOLAC encourages the City Manager to increase the available budget for translation and interpretation services for all City Departments which interact with the language minority communities. Inadequate language access presents a health and safety risk for language minority community members.		Llanes Pulido	Lopez-Aguilar	All
2016/02/22 004.93	Llanes Pulido	Outside the Box Dropout Prevention	\$	The Million Minute Learning Project will provide Montopolis students in grades, PK-12, most at risk of dropping out of school due to low academic, social and/or language skills, access to quality year-round, out-of-school learning, in a format they understand. Funds will be used to deliver 9600 hours of direct academic learning to close the achievement gap between low and high-income youth. Outside the Box will recruit and secure 100-students and coordinate family engagement events to empower all students to engage in challenging course work and better prepare for college, career and a future economy driven by technology-based jobs.		Lopez-Aguilar	Guerra	All
2016/02/22 004.94	Llanes Pulido	PODER Young Scholars for Justice Leadership Development Program	\$	PODER's Young Scholars for Justice Leadership Development Program develops future leaders. PODER believes it is imperative for youth to become active participants in the decision-making processes that directly affect their lives. Civic participation and community organizing provides young people the opportunity to envision and practice participatory democracy and equips them with the tools and knowledge they need to become informed, active community participants (see PODER's Young Scholars for Justice Leadership Development Proposal for more information). The "One Job at a Time" Job Readiness program's goal include preparing low-income job seekers to be able to qualify and compete for entry-level positions in the demand occupations found in their respective labor force areas. According to the U.S. Bureau of Statistics, the shift from goods-producing to service-industry employment continues. Thus, although the job market is still tight, the number of consumer-oriented jobs continues to increase. These are the types of jobs that require customer service and work readiness skills which this project will offer (Review "One Job at a Time" Job Readiness proposal). These three projects/programs will provide services for children, teenagers, young adults and families. These projects/programs address equity, culture and diversity; government and engagement; family support and social services; employment (Jobs) and job training, education, sustainability, preservation and environment. More importantly, education, leadership and employment (job readiness) will help lift people out of poverty. These three projects/programs will increase development and utilization of Austin's human resources, with special emphasis on the needs of low-income and underserved population, in the areas of education, training, employment, business and economic opportunity. The Montopolis community boundaries, recognized by the City of Austin Neighborhood Planning Department, is the following, Grove Boulevard to the West, Highway 183 to the East and North, and Hwy 71 to the south (see attached Montopolis Neighborhood Plan map)		Tierra	Lopez-Aguilar	All



#	Committee Member	Project Title	Budget	Project Summary	Motion	Second	Vote
20160622-004-a5	Lopez-Aguilar	Mamis Ayudando a Mamis Project of Latina Mami	\$ 35,000.00	The general goal of the project is to address increased adolescent motherhood in Austin, by providing bilingual mental health services and improving their social network, which facilitates access to general social/health services for young and Latina mothers, their babies their family support system. Latina Mami will use this data to design a long term, innovative and culturally appropriate intervention program to address their needs.	Velasquez	Tijerina	All
20160622-004-a6	Ramirez	Ballet East Dance Company	\$20,000.00	The Ballet East Dance Company wants to expand their successful ballet folklorico program to Martin MS and Metz Rec. Center.	Lopez-Aguilar	Llanes Pulido	All
20160622-004-a7	Ramirez	The Samaritan Center	\$ 75,000.00	To provide Integrative Medicine services for vulnerable populations such as uninsured, underinsured, low income, veterans and their families	Tijerina	Lopez-Aguilar	All
20160622-004-a8	Ramirez	Tejano Heritage Celebration	\$55,000.00	To coordinate a statewide celebration acknowledging Tejano heritage, education, history and musical contributions, recognizing its impact and influence on the State of Texas.	Lopez-Aguilar	Velasquez	All
20160622-004-a9	Ramirez	Youth Unlimited Enhancement and Entrepreneurial Program	\$30,000.00	The goals and objectives of this program is designed to work with the most at-risk students both inside and outside of the classroom, so they become an increasingly positive influence in their schools, and their communities. The student's improved self-esteem and motivation moves the child from a pattern of disruption and failing in classroom performance, to a productive and active role, with increased positive, active participation. This program will improve student test scores, in core subjects, reduce absenteeism and greatly reduce behavior referrals. This program also reduces bullying, domestic violence and strengthens social relationships.	Lopez-Aguilar	Tijerina	All
20160622-004-a10	Ramirez	AAQOL Budget Recommendation	\$ -	Please see attachment. Amount of \$2,400,049.00	Llanes Pulido	Lopez-Aguilar	All
20160622-004-a11	Ramirez	Con Mi Madre-Supporting Young Latinas to Excel	\$ 30,000.00	Group Therapy	Velasquez	Tijerina	All
20160622-004-a13	Tijerina	CMACA Serape Weaving Project	OK	CMACA will invite historian Reynaldo Rodriguez from Saltillo to give a presentation about the history of the serape, and a guest weaver from Saltillo for the demonstrations. Sanchez and Zavala elementary schools will also be invited to bring students to the ESB-MACC for the presentations that will take place in the fall 2016 for two consecutive days. Because the presentations are open the public, CMACA will also reach out to senior citizens, specifically clients at the Conley Guerrero Senior Activity Center and the general public via social media as prospective audience members as well.	Lopez-Aguilar	Llanes Pulido	All
20160622-004-a15	Tijerina	Pipeline Latinitas - Connecting Latino Youth with Austin's Tech Industry	\$35,000	Pipeline Latinitas leverages Latinitas' original digital media and tech curriculum, its existing and growing relationships with career mentors in Austin's tech sector, its reputation as the only bilingual tech education in Austin for over 10 years and its role as resource for technology training and access at schools, libraries and public housing for 2500 Hispanic girls and their families annually, 25,000 since its origin, to create a definitive pipeline of trained, young Latinas to Austin's tech sector and improve Austin's workforce diversity.	Lopez-Aguilar	Tijerina	All
20160622-004-a15	Zamora	City of Austin's Equity Office	?????	The City Manager will prepare a report and request for continuing funding. The Latino/Hispanic Quality of Life Advisory Commission prepared the initial recommendation to establish the Office of Equity and herewith supports the request for continuing funding by the City Manager.	Lopez-Aguilar	Guerra	All
20160622-004-a16	Zamora	Govalle/Johnston Terrace Proposal, La Loma Trail Neighborhood Connectivity	\$45,000.00	The Hispanic/Latino Quality of Life Advisory Commission recommends that the Austin City Council approve the development plan by the Govalle/Johnston Terrace Neighborhood Contact Team. The plan will facilitate the construction of affordable housing and advance the city's density concerns for the neighborhood planning area, generally in accordance with the city's Neighborhood Plan.	Lopez-Aguilar	Velasquez	All



#	Commissioner	Project Title	Budget	Project Summary	Motion	Second	Vote
20160622-004-a17	Zamora	Nuestro Grupo Colloquium on History, Culture and Society	\$8,000.00	The Hispanic/Latino Quality of Life Advisory Commission recommends one-year funding for the Colloquium. The Colloquium would make use of the excellent resources in the Austin area colleges and universities to offer the general public regularly scheduled panels with speakers and commentators engaging important issues related to history, culture and society. Although the focus will be on Mexican Americans, the colloquium will offer a general grounding in local, regional and state history. Topics and themes will include: Mexican American/African American Relations across Time, The Role of Values in Revitalizing Culture and Society, Gender, Race and Ethnicity, Migrations Across Borders, Nation and Time, The Indigenous in and Around Us, Competing Visions in Austin, and Collaborations for the Future. Each panel will include a moderator, one or two presenters, and a commentator. The presentations and commentary will be brief (approximately 10 minutes each) to allow for robust conversations among the members of the audience. The organization will also produce a report at the end of the year on the presentations and discussions for the general public. Possible speakers include: Dr. Gloria Gonzalez (sociologist), Dr. David Montejano (historian), Dr. Martha Menchaca (anthropologist), Dr. Christopher Milk (Education), Dr. Maggie Rivas-Rodriguez (Media/Communications), Dr. Jane Rivera (anthropologist), Andres Tijerina (historian), and Dr. Angela Valenzuela (Education). Nuestro Grupo will regularly evaluate each event in order to ensure effectiveness and provide for future planning. Funding will be used to cover the costs of \$100-250.00 honorariums for approximately 12-15 presenters and commentators with larger amounts going to those that visit us from outside of Austin. It will additionally cover monthly receptions at about \$300-400.00 each, and approximately \$500 for advertising and supplies.	Velasquez	Lopez-Aguilar	All
20160622-004-a18	Zamora	Red Salmon Arts	OK	The Hispanic/Latino Quality of Life Advisory Commission recommends the funding request to return Red Salmon Arts to its previous programmatic level after a serious reduction for FY 2016	Llanes Pulido	Tijerina	All
20160622-004-a19	Zamora	Tejano Monument Anniversary Celebration	\$ 26,000.00	The Latino-Hispanic Quality of Life Advisory Commission recommends permit and financial support for a proposed parade, a musical performance and a commemorative event to be sponsored by the Austin Tejano Music Coalition on April 8, 2017. These activities are proposed as part of the five-year commemoration of the building of the Tejano Monument at the Capitol grounds. The late-morning parade will include public school children and their parents, members of various organizations and cultural groups from Austin and the surrounding area, members of University of Texas and Austin Community College offices and local, state and national dignitaries. The music venue will include several prominent Tejano bands that will perform all afternoon. The Austin Tejano Music Coalition plans to collaborate with the Texas State Historical Association and the former members of the Board of Tejano Monument Inc. in these festivities. The accompanying activities sponsored by the two latter groups will include a ceremony at the statuary and a scholarly meeting to be held in the Capitol building.	Lopez-Aguilar	Llanes Pulido	All



#	Commissi onier	Project Title	Budget	Project Summary	Motion	Second	Vote
20160622- 004-820	Zamora	The Mexican American Museum of Popular Arts	\$ 75,000.00	The Hispanic/Latino Quality of Life Advisory Commission recommends that the City of Austin create a memorandum of understanding with the Travis County Commissioners Court including a City of Austin feasibility study as a first-step in incorporating the Palm Building and 4 acre urban park as part of the revitalized Waller Creek Conservancy district park, with the Palm Building to be used as a Museum of Mexican American Heritage, Folk Art, and Indigenous Culture. This recommendation originated in community forums, namely in the community meeting held at Zaragoza Park where the concept of converting the Palm Building into a museum was proposed. Likewise, at the Raza Round Table, Austin residents proposed the idea of a Museum of Mexican American Heritage, Folk Art, and Indigenous Culture. The proposal is encouraged in particular by the commitment of the Austin Friends of Folk Art (particularly its current President, Ms. Gloria Pennington) and the Indigenous Cultures Institute (especially its current chair, Dr. Mario Garza) to provide valuable materials in their collections, as well as guidance in its development.	Lopez- Aguilar	Tylerina	All
20160622- 004-821	Ramirez	Dove Springs Community Developers Program	OK	The Hispanic/Latino Quality of Life Advisory Commission agrees that Austin is located at an important geographical crossroad of ancient cultures that span the continent and the state of Texas and that communities of folk artists continue to express this important continental heritage. Exhibits, scholarly convenings and community educational activities in a museum setting could serve as a source of cultural revitalization for the Mexican American and Latino communities, as well as for the public at large, including the increasing numbers of visitors that we expect in the Waller Creek area, the Rainey Street entertainment district, and the current Emma S. Barrientos Mexican American Cultural Center (ESBMACC). The Hispanic/Latino Quality of Life Advisory Commission, however, understands that such a venture minimally requires the collaboration of the City of Austin and the Travis County Commissioners Court on the basis of an understanding of cooperation as a first step towards converting Palm School into a Museum of Mexican American Heritage, Folk Art and Indigenous Culture. The proposed feasibility study is necessary to move forward on this idea.	Velasquez	Lopez- Aguilar	All
20160622- 004-822	Zamora	Upgrade of Red Salmon Arts Computer Environment	\$ 10,081.00	The Dove Springs Community Developers Program is a leadership and community development initiative of the United Methodist Church. Its purpose is to transform the Dove Springs community into a place of opportunity, growth and health. It trains young leaders to be 'agents of change' in their local communities and neighborhoods. They learn skills, methods and techniques for transforming neighborhood. They receive training related to: asset-based community development, facilitative leadership, community service, and project development.	Lopez- Aguilar	Llanes Pulido	All
	Ramirez	African American Resource Advisory Commission Budget support	\$ -	The Hispanic/Latino Quality of Life Advisory Commission recommends support for the one-time purchase of computer and audiovisual equipment--prohibited from purchase on our Cultural Arts grant--needed to enable greater self-sufficiency of the organization's publications program.	Lopez- Aguilar	Llanes Pulido	All
				Please see attachment. Amount of \$3,441,447.00			



#	Commissioner	Project Title	Budget	Project Summary	Motion	Second	Vote
		The Commission recommends funding for outreach, education and enrollment services for the uninsured population of the City's uninsured population	\$ 300,000.00	Funding of \$300,000.00 will fund a modest effort to provide outreach, education, and enrollment services targeted at the City's uninsured at 100% to \$250 of the Federal Poverty Level. Prior to 2015 no navigators were financed by the Federal government, the City of Austin or Travis County. Funding is for both Latino Health Forum and Foundation Communities	Zamora	Llanes Pardo	All (Velasquez, Chanting, Ramirez, Trevisio, d)
		Funds from the operating budget to add one FTE Community Engagement Coordinator for the Restore Rundberg project area	\$ 66,000.00	The Commission supports the funding for a Community Engagement Coordinator to focus on the Rundberg area, as well as programmatically connected neighborhoods. This position will support the cross-sector partnership and promote the three program goals: to improve public safety, address social impacts and long term planning and implementation of neighborhood-based revitalization strategies. The coordinator will conduct and coordinate a variety of educational activities regarding public safety, social services, development and engagement. The coordinator will assist with the Rundberg Educational Advancement District (READ), the Council on At-Risk Youth (CARY) and other youth programs in coordination with the project partners to help facilitate community involvement, public dialogues and consent building to identify and resolve community issues.	Lopez-Aguilar	Ramirez	All
	Jimenez	Montopolis and Del Valle Community Health Assessment	\$ 75,000.00	The areas of Montopolis and Del Valle are areas marked by a lack of investment for decades, rapid growth, and need. Predominantly Latino and very low-income, these areas are the direction where many of the current city residents who cannot afford to stay in Austin are headed. There is a lack of services in this area and a need to ascertain what health conditions impact these communities. This project will consist of data analysis, stakeholder interviews, and focus groups.	Velasquez	Zamora	All (Velasquez, Chanting, Ramirez, Trevisio, d)
	Llanes Pardo	Operational Support for Economic Growth Business Incubator	\$ -	Operational support for three years (\$60,000 per year, \$180,000 over three years) for Economic Growth Business Incubator (EGBI) for ongoing efforts in Latino-owned small business development services including instruction, business planning, business development, financial modeling, and capital formation, \$60,000 for three years	Aguilar	Trevisio	All
	Llanes Pardo	Strategic Planning and Capacity Building Grant for Latino and other Minority-Owned Scalable Enterprises	\$ -	A capacity building grant in the amount of \$75,000, to be released through a request for proposals (RFP) with the objective to create an entity, organization or initiative that accelerates economic development among Latinos and other minorities through the growth of scalable enterprises and increased business ownership. The appropriate program or entity the following deliverables: <ul style="list-style-type: none"> <li>• Research best practices for growing 2nd stage businesses</li> <li>• Develop 10 year strategic and financial plan</li> <li>• Recruit key stakeholders, supporters and endorsements, achieving equitable representation of the directly impacted communities</li> <li>• Recruit strategic partnerships and collaborators</li> <li>• Recruit financial supporters and anchor investors</li> <li>• Create legal framework for programs or a new entity (incorporation, if applicable)</li> <li>• Create governance framework (by laws or program charter)</li> <li>• Recruit key steering team or board members for new entity</li> <li>• Achieve equitable representation of the directly impacted communities among entity stakeholders</li> </ul>	Zamora	Lopez-Aguilar	All (Guerrero, abstained)



#	Commissioner	Project Title	Budget	Project Summary			Vote
				Motion	Second		
	Lopez-Aguilar	Sam's Corner	\$ 75,000.00	Serie Project, Inc. is working towards providing a hub for conducting learning opportunities in visual art classes, lessons, fine art exhibitions/presentations and lectures in the Montopolis neighborhood venue. This district in Austin has the potential to increase audience support for cultural arts and economic development. This includes identifying emerging artists, growing new audiences, and gaining supporters for the arts. Economic development via cultural arts programming in the surrounding residential and commercial sector in the neighborhood is projected to benefit individual residents and businesses. Elementary after school art activities, fine art classes for senior citizens and families would address intergenerational interests. Activities to encourage participation with existing entities would enable partnering and inclusion. By offering fine arts programs, students, families, and in particular, at risk students, would have an opportunity to learn, discover, appreciate creativity and self expression.			All (Velasquez, Chao, Ramirez, recused)
	Ramirez	GAVA Phase II" in PARD unmet needs list (lighting package to partially begin to cover lighting needs in 78744 and 78745)	OK	Go Austin, Vamos Austin			All (Llanes, Pulido, recused)
	Ramirez	Phase II Scaling of Healthy Corner Store Initiative to achieve impact on 80% of census tracts in 78744 and 78745	OK	RFP: Phase II Scaling of Healthy Corner Store Initiative to achieve impact on 80% of census tracts in 78744 and 78745. Includes: • \$114,000 (\$57,000 x 2 years, includes salary and benefits) for one FTE Food Retail Organizer • \$50,000 (\$10,000 x 5 stores at Tier 3 participation) • \$25,000 (\$5,000 x 5 stores at Tier 2 participation) • \$80,000 (\$6,000 x 15 stores to sign on and bring to Tier 2 participation over two years)			All (Llanes, Pulido, recused)
	Zamora	Feasibility to study for best practices to consolidate city/ISDs educational services	\$ -	Assess the current education programs sponsored & approved by the City to determine how to best consolidate and expand the City's support for Austin ISD.			All
	Ramirez	Con Mi Madre	\$ -	Updated Budget			Lopez-Aguilar
	Tijerina	The AZTLAN Performing Arts Conservatory Institutional Capacity Building Chicana/o Expressive Futures in Austin	\$ -	The AZTLAN Dance Company requests \$50,000 for the development of the AZTLAN Performing Arts Conservatory, a capacity building initiative for organizational growth, professionalization, program/service expansion, and grassroots cultural arts institution making. The AZTLAN Performing Arts Conservatory initiative meaningfully expands AZTLAN's nonprofit organizational business model by creating a formal and structured school for the performing arts that centers dance, history, culture, and community as critical tenets for community-based programming. Funds will be invested in three identified areas, they are: 1.) grants development and personnel, 2.) curriculum development, and 3.) a comprehensive educational/marketing power toolkit. The AZTLAN Conservatory will provide a rigorous program of arts instruction for youth and adults, develop performance artists for the AZTLAN Dance Company, and employ arts education, performances, and workshops as a means to reflect our self-determined culture within the broader spectrum of Austin arts.			All (Llanes, Pulido)

#	Committee member	Project Title	Budget	Project Summary	Motion	Second	Vote
	Ramirez	John Trevino Jr. Metropolitan Park at Morrison Ranch	\$ 50,000.00	For PARD to conduct a feasibility study to determine how the park can be developed, so it meets the needs of the community and particularly of the impoverished community and the region.	Ramirez	Lopez-Agular	All
	Ramirez	Las Comadres Building Support Systems for Seniors on Fixed Incomes in Zip Code 78702	\$ -	Due to the increase in property taxes all over Austin, but especially in the central Austin neighborhoods, many elderly individuals who have lived in East Austin, since at least 1992, and who live on fixed incomes, find themselves unable to pay the high property taxes. Las Comadres Para Las Americas, Austin Network seeks to create a model for community building and support for senior citizen residents in East Austin. The proposed model supports the work being done by The East Side Conservancy (eastsideguardians.org), specifically around the housing affordability initiative. <b>This is a one time funding</b>	Ramirez	Lopez-Agular	All
		Addition of a Community Outreach Specialist for the ESB-MACC	OK	After the community voiced various concerns that the center has not performed enough outreach, the staff of the ESB-MACC has identified a need for a full time Community Outreach Specialist. This position will not only address the community's concerns, but will also improve and increase visibility of the Center and its programs.	Zamora	Lopez-Agular	All
			\$ 1,024,081.00				

**From:** Jill Ramirez  
**To:** [Kingham, Robert](#)  
**Subject:** Re: Question  
**Date:** Wednesday, January 04, 2017 11:10:58 AM

---

Hi Robert,

Hope you had great and restful holiday.

Also, I understand you're leaving the City at the end of this month. I'd like to really talk with you regarding the Montopolis and Del Valle placed based initiative before you leave.

Thanks,

jill

---

**From:** Kingham, Robert <Robert.Kingham@austintexas.gov>  
**Sent:** Monday, December 19, 2016 9:59:14 AM  
**To:** Jill Ramirez  
**Subject:** Automatic reply: Question

I'll be out of the office until Wednesday, 12/21/16. If you need immediate assistance please contact Cassie DeLeon @ [Cassandra.DeLeon@austintexas.gov](mailto:Cassandra.DeLeon@austintexas.gov).

Thank you,  
Robert Kingham



**From:** Hayden, Stephanie  
**To:** [Jones, Shannon W. \[HHS\]](#)  
**Subject:** Fwd: Montopolis/Del Valle Community Health Assessment Funding  
**Date:** Friday, January 06, 2017 2:23:41 PM

---

Happy New Year

Staff are working on a solicitation for this funding. Latino Healthcare Forum would like the funding to be provided to them without a solicitation. They are going to contact a Council member to make that request. Let me know if you have questions. Stephanie

Get [Outlook for Android](#)

----- Forwarded message -----

**From:** "Kingham, Robert" <[Robert.Kingham@austintexas.gov](mailto:Robert.Kingham@austintexas.gov)>  
**Date:** Fri, Jan 6, 2017 at 11:07 AM -0600  
**Subject:** Montopolis/Del Valle Community Health Assessment Funding  
**To:** "Hayden, Stephanie" <[Stephanie.Hayden@austintexas.gov](mailto:Stephanie.Hayden@austintexas.gov)>

Stephanie:

Just wanted to give you a heads up that I just spoke with Jill Ramirez with the Latino Healthcare Forum about this funding. I told her that there wasn't any direction from Council when they allocated this funding that it go to the LHCF and in the absence of any direction, we will have to compete that funding. She understood that but she also said that during the budget process Council had discussion with her about this funding and how the LHCF do this work. She said she is going to call Council to see if they can direct the funding to them.

We could possibly do a Professional Services exemption and allocate the funding to them if need be.

Thanks,  
Robert

**Robert Kingham**

Manager  
Social Services Policy  
Austin Public Health

P.O. Box 1088  
Austin, TX 78767  
Office (512) 972-5026; Fax (512) 972-5025

[www.austintexas.gov/department/health](http://www.austintexas.gov/department/health)

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**From:** Corona, Bob  
**To:** [Jones, Shannon W. \[HHS\]](#)  
**Subject:** FW: Del Valle/Montopolis Community Health Assessment  
**Date:** Wednesday, January 25, 2017 1:58:56 PM

---

Fyi,...evidently LHCF wants the Del Valle contract and have contacted CM Renteria, believe Robert and Steph working on a reply, thanks.

---

**From:** Lumbreras, Bert  
**Sent:** Wednesday, January 25, 2017 12:38 PM  
**To:** Kingham, Robert <Robert.Kingham@austintexas.gov>  
**Cc:** Samilpa, Kristi <Kristi.Samilpa@austintexas.gov>; Hayden, Stephanie <Stephanie.Hayden@austintexas.gov>; Corona, Bob <Bob.Corona@austintexas.gov>  
**Subject:** Re: Del Valle/Montopolis Community Health Assessment

Robert,

Thanks!

Can we proceed to assess them to see if they qualify if staff is comfortable with that step?  
I would welcome APH'S recommendations.

Bert

Get [Outlook for Android](#)

On Tue, Jan 24, 2017 at 2:27 PM -0700, "Kingham, Robert" <[Robert.Kingham@austintexas.gov](mailto:Robert.Kingham@austintexas.gov)> wrote:

Kristi asked that I send you an email re: the \$75,000 Council allocated to complete a Community Health Assessment for the Del Valle/Montopolis communities during the FY17 budget process.

Council did not specify any particular agency for this funding to be awarded and in the absence of any direction from Council or City Leadership we have historically competed funding like this. The Latino Healthcare Forum contacted me because they believe the intent of Council was for them to conduct this assessment. They also contacted CM Renteria's office when I informed them that we had no direction to award funding to them. The LHCF has conducted a couple community health assessments, most recently for the Rundberg area. They completed the work and provided us an acceptable product. The Del Valley/Montopolis project would qualify for a professional services exemption if it is determined that LHCF would be best suited to conduct this work.

Thanks,  
Robert

**Robert Kingham**

Manager  
Social Services Policy  
Austin Public Health

P.O. Box 1088  
Austin, TX 78767  
Office (512) 972-5026; Fax (512) 972-5025

[www.austintexas.gov/department/health](http://www.austintexas.gov/department/health)

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**From:** Lumbreras, Bert  
**To:** [Jones, Shannon W. \[HHS\]](#); [Hayden, Stephanie](#)  
**Subject:** RE: Media Report  
**Date:** Monday, February 06, 2017 3:07:52 PM

---

Thanks. Jill needs to know the media is asking around already and another reason why we need to go out with an RFP.

Bert

---

**From:** Jones, Shannon W. [HHS]  
**Sent:** Monday, February 06, 2017 3:06 PM  
**To:** Lumbreras, Bert <bert.lumbreras@austintexas.gov>; Hayden, Stephanie <Stephanie.Hayden@austintexas.gov>  
**Subject:** Fwd: Media Report

Just got this notification.  
Shannon

Begin forwarded message:

**From:** "Barasch, Carole" <[Carole.Barasch@austintexas.gov](mailto:Carole.Barasch@austintexas.gov)>  
**Date:** February 6, 2017 at 2:58:32 PM CST  
**To:** "Jones, Shannon W. [HHS]" <[Shannon.Jones@austintexas.gov](mailto:Shannon.Jones@austintexas.gov)>, "Hayden, Stephanie" <[Stephanie.Hayden@austintexas.gov](mailto:Stephanie.Hayden@austintexas.gov)>  
**Cc:** "Corona, Bob" <[Bob.Corona@austintexas.gov](mailto:Bob.Corona@austintexas.gov)>  
**Subject:** Media Report

**Submitted by:** Barasch, Carole  
**Department:** Health and Human Services  
**ID::** [29220](#)  
**Assigned To:** Barasch, Carole  
**Cell/Pager:** 802-1503  
**PIR:** No

**Health and Human Services:** Austin American-Statesman is requesting information on social services contracts with the Latino Healthcare Forum and the process that led to the contracts.

**City Response/Action:** Austin Public Health has two contracts with the organization--one contract is Restore Rundberg (Phase II). The second contract is Secure Your Health, which educates Austin area residents about the Affordable Care Act, helps them select, enroll and maintain health insurance. They were both Commission recommendations sent to Council for consideration in the budget during the budget process this past summer.

**Affiliate**

AAS - Hicks, Nolan





**Carole Barasch**

Communications Manager

Austin Public Health

512-972-6115 (desk) | 512-845-3041 (cell)

[Carole.barasch@austintexas.gov](mailto:Carole.barasch@austintexas.gov)

**From:** Rodriguez, Frank  
**To:** [Mayor Adler](#)  
**Subject:** QL \$700k budget for each  
**Date:** Sunday, September 11, 2016 7:35:00 PM  
**Attachments:** [QL 700K.xlsx](#)  
[image001.png](#)

---

The spreadsheet is based on each of the respective QoL Commissions' priorities. I simply went down their \$1 million list and cut it off at \$700k. FMR

**Frank Rodríguez**, Senior Policy Advisor | Office of Austin Mayor Steve Adler  
Austin City Hall | 301 W. Willie Nelson Blvd | Austin TX 78701  
512.978.2131 (office) | [REDACTED] (cell)  
Email: [frank.rodriguez@austintexas.gov](mailto:frank.rodriguez@austintexas.gov)

*We want Austin to be the most livable and best-managed city in the country.*



**Quality of Life Advisory Commissions Budget Priorities with a \$700k budget for each**

African American		Asian American		Latino/Hispanic	
	Amount		Amount		Amount
KAZI - Increase opportunities to broadcast additional Council meetings/forums important to the community	\$ 32,970	Asian American Resource Center (AARC) Public Event Leader - 1 FTE	\$ 58,000	ACA Outreach and Enrollment services to reduce the 30% uninsured Latino population	\$ 300,000
MEELI Justice Center - Job training and support services for youth who are at risk and adults who have been in the criminal justice system	\$ 350,000	CPIO Translation and Language Interpretation	\$ 250,000	Mamis Ayudan to address increased adolescent motherhood through bilingual health services	\$ 35,000
Youth Employment to serve 200 youth	\$ 200,000	HHSD Equity Contract \$150,000 to allow AFSSA to be a contractor	\$ 150,000	Teen Pregnancy Prevention Task Force to develop a community based teen prevention strategic plan	\$ 35,000
Urban Music Festival	\$ 26,000	HHSD Health Outreach Team (Request is \$300k but to stay within \$700k budget the amount is reduced to \$242k)	\$ 242,000	Con Mi Madre group and individual therapy supporting young Latinas	\$ 69,000
Swimming Pool East of HWY 183. NOTE: CIP Project and not included in GF Total	\$ 700,000			Pipeline Latinitas - connecting Latino youth with Austin's Tech Industry	\$ 35,000
Youth Harvest Foundation (total is \$187,000 but to stay within \$700k the total is reduced)	\$ 91,030			Ballet East Dance Company to expand folklorico program to Martin MS and Metz Rec Center	\$ 20,000
				Arts HUB (Sam's Corner) in Montopolis for learning opportunities in visual art classes	\$ 75,000
				Tejano Monument Anniversary Celebration	\$ 26,000
				Upgrade of Red Salmon Arts Computer Environment	\$ 10,081
				Nuestro Grupo Colloquim on History, Culture , and Society	\$ 8,000
				Las Comrades building support systems for Seniors on Fixed Systems	\$ 11,919
				Montopolis and Del Valle Community Health Assessment	\$75,000
<b>TOTAL</b>	<b>\$ 700,000</b>	<b>TOTAL</b>	<b>\$ 700,000</b>	<b>TOTAL</b>	<b>\$700,000</b>

**From:** Rodriguez, Frank  
**To:** [Mayor Adler](#)  
**Subject:** Fwd: Info request  
**Date:** Monday, September 12, 2016 3:11:13 PM

---

This needs to be explored. Isabel's group also has multi-lingual community health workers that are doing wraparound services in addition to ACA enrollment. They could add this to their contract and save the money. They will probably a little \$ for outreach materials, but they already have the community health workers to do this. This saves the city the \$ that they just discussed as needed. FMR

--

Frank Rodriguez  
Senior Policy Advisor, Mayor's Office  
P.O. Box 1271  
Austin Texas 78767  
[REDACTED]

Begin forwarded message:

**From:** <[Frank.Rodriguez@austintexas.gov](mailto:Frank.Rodriguez@austintexas.gov)>  
**Date:** September 12, 2016 at 3:02:23 PM CDT  
**To:** Stephanie Hayden <[Stephanie.Hayden@austintexas.gov](mailto:Stephanie.Hayden@austintexas.gov)>  
**Subject:** Info request

I just checked with Jill Ramirez if ACA outreach/enrollment if they could do SNAP outreach. She said they could within the current contract they have with the city. They just need to be directed to do so. They are already doing other wraparound services. Can you explore this with her? Thanks. FMR

--

Frank Rodriguez  
Senior Policy Advisor, Mayor's Office  
P.O. Box 1271  
Austin Texas 78767  
[REDACTED]

**From:** Rodriguez, Frank  
**To:** [Mayor Adler](#)  
**Subject:** Re: Info request  
**Date:** Monday, September 12, 2016 3:49:16 PM

---

Ok. FMR

--

Frank Rodriguez  
Senior Policy Advisor, Mayor's Office  
P.O. Box 1271  
Austin Texas 78767  
[REDACTED]

On Sep 12, 2016, at 3:40 PM, Mayor Adler <[Mayor.Adler@austintexas.gov](mailto:Mayor.Adler@austintexas.gov)> wrote:

Find out how the food guy would answer, so we know ahead of time...

S

---

**From:** Rodriguez, Frank  
**Sent:** Monday, September 12, 2016 3:39 PM  
**To:** Mayor Adler <[Mayor.Adler@austintexas.gov](mailto:Mayor.Adler@austintexas.gov)>  
**Subject:** Re: Info request

When the QL programs come up you can ask whether the ACA providers can add SNAP outreach and enrollment to their scope of work within the same budgets. I can give a heads up to the Food guy that you will be asking this question and he can be ready to discuss this. FMR

--

Frank Rodriguez  
Senior Policy Advisor, Mayor's Office  
P.O. Box 1271  
Austin Texas 78767  
[REDACTED]

On Sep 12, 2016, at 3:36 PM, Mayor Adler <[Mayor.Adler@austintexas.gov](mailto:Mayor.Adler@austintexas.gov)> wrote:

Should I ask staff or the food staff person who spoke about having the ACA group to the SNAP outreach?

And how would this impact the draw down of the federal match?


S



---

**From:** Rodriguez, Frank  
**Sent:** Monday, September 12, 2016 3:18 PM  
**To:** Mayor Adler <[Mayor.Adler@austintexas.gov](mailto:Mayor.Adler@austintexas.gov)>  
**Subject:** Re: Info request

I don't think so. I think there are two issues left to work out. one is food corner where Delia wants \$400k instead of the \$200k we've listed and Kathie wants the SNAP money. Both have easy solutions. ACA group does the SNAP outreach and enrollment which offsets the need for the \$. The food corner is short \$200k but Delia is looking at other cuts off the Staff list. FMR

--  
Frank Rodriguez  
Senior Policy Advisor, Mayor's Office  
P.O. Box 1271  
Austin Texas 78767  


On Sep 12, 2016, at 3:13 PM, Mayor Adler  
<[Mayor.Adler@austintexas.gov](mailto:Mayor.Adler@austintexas.gov)> wrote:

Should we add some of the food or other programs just discussed to the \$700K of QofL programs and have them all compete for the same \$2.1M?

s

---

**From:** Rodriguez, Frank  
**Sent:** Monday, September 12, 2016 3:11 PM  
**To:** Mayor Adler <[Mayor.Adler@austintexas.gov](mailto:Mayor.Adler@austintexas.gov)>  
**Subject:** Fwd: Info request

This needs to be explored. Isabel's group also has multi-lingual community health workers that are doing wraparound services in addition to ACA enrollment. They could add this to their contract and save the money. They will probably a little \$ for outreach materials, but they already have the community health workers to do this. This saves the city the \$ that they just discussed as needed. FMR

--

Frank Rodriguez  
Senior Policy Advisor, Mayor's Office  
P.O. Box 1271  
Austin Texas 78767  
[REDACTED]

Begin forwarded message:

**From:** <[Frank.Rodriguez@austintexas.gov](mailto:Frank.Rodriguez@austintexas.gov)>  
**Date:** September 12, 2016 at 3:02:23 PM  
CDT  
**To:** Stephanie Hayden  
<[Stephanie.Hayden@austintexas.gov](mailto:Stephanie.Hayden@austintexas.gov)>  
**Subject:** Info request

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FMR

--

Frank Rodriguez  
Senior Policy Advisor, Mayor's Office  
P.O. Box 1271  
Austin Texas 78767  
[REDACTED]

**From:** Rodriguez, Frank  
**To:** [Mayor Adler](#)  
**Subject:** Re: Info request  
**Date:** Monday, September 12, 2016 3:17:34 PM

---

I don't think so. I think there are two issues left to work out. one is food corner where Delia wants \$400k instead of the \$200k we've listed and Kathie wants the SNAP money. Both have easy solutions. ACA group does the SNAP outreach and enrollment which offsets the need for the \$. The food corner is short \$200k but Delia is looking at other cuts off the Staff list. FMR

--

Frank Rodriguez  
Senior Policy Advisor, Mayor's Office  
P.O. Box 1271  
Austin Texas 78767  
[REDACTED]

On Sep 12, 2016, at 3:13 PM, Mayor Adler <[Mayor.Adler@austintexas.gov](mailto:Mayor.Adler@austintexas.gov)> wrote:

Should we add some of the food or other programs just discussed to the \$700K of QofL programs and have them all compete for the same \$2.1M?

s

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**From:** Rodriguez, Frank  
**Sent:** Monday, September 12, 2016 3:11 PM  
**To:** Mayor Adler <[Mayor.Adler@austintexas.gov](mailto:Mayor.Adler@austintexas.gov)>  
**Subject:** Fwd: Info request

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--

Frank Rodriguez  
Senior Policy Advisor, Mayor's Office  
P.O. Box 1271  
Austin Texas 78767  
[REDACTED]


Begin forwarded message:

**From:** <[Frank.Rodriguez@austintexas.gov](mailto:Frank.Rodriguez@austintexas.gov)>  
**Date:** September 12, 2016 at 3:02:23 PM CDT

**To:** Stephanie Hayden <[Stephanie.Hayden@austintexas.gov](mailto:Stephanie.Hayden@austintexas.gov)>  
**Subject:** Info request

I just checked with Jill Ramirez if ACA outreach/enrollment if they could do SNAP outreach. She said they could within the current contract they have with the city. They just need to be directed to do so. They are already doing other wraparound services. Can you explore this with her? Thanks. FMR

--

Frank Rodriguez  
Senior Policy Advisor, Mayor's Office  
P.O. Box 1271  
Austin Texas 78767  


**From:** Rodriguez, Frank  
**To:** [Adler, Steve](#)  
**Subject:** RE: PLEASE GET ME 20 COPIES OF A DRAFT RIDER ON QUALITY OF LIFE 2.1 BUCKET...  
**Date:** Monday, September 12, 2016 7:57:00 AM

---

Not sure about presented to "boards and commissions". Is this having to go through the Council HHS committee? If so, then some of these will be impacted, e.g., the ACA enrollment which starts in November. Maybe just include the chairs of the QLs to work with staff. FMR

---

**From:** Adler, Steve  
**Sent:** Monday, September 12, 2016 7:42 AM  
**To:** Rodriguez, Frank <Frank.Rodriguez@austintexas.gov>  
**Cc:** Mayor Adler <Mayor.Adler@austintexas.gov>  
**Subject:** PLEASE GET ME 20 COPIES OF A DRAFT RIDER ON QUALITY OF LIFE 2.1 BUCKET...

ARE YOU OKAY WITH THIS?

"Health and Human Services and Eastern Crescent Quality of Life unmet needs."

This funding should support initiatives identified by the City's Quality of Life Commissions, Spirit of East Austin, and recommendations based on Council resolutions to address inequity in the Eastern Crescent, with a particular focus on the following:

- Health assessments, outreach, and enrollment for underserved and uninsured communities
  - Programming for youth including post-secondary education preparedness, job readiness, and mentoring for at-risk youth.
  - Mental health services for underserved communities
  - Expansion of translation and interpretation services for City services
- Workforce development

- Healthy food access and SNAP outreach
- Capacity building for smaller organizations that work in the Eastern Crescent

Funding requests should be vetted by an interdisciplinary team of city staff and presented to Boards and Commissions followed by the Council for approval.



From: Rodriguez, Frank  
To: Corona, Bob  
Subject: Re: QoL, ACA  
Date: Monday, September 19, 2016 1:42:40 PM  
Attachments: image1.PNG

---

Bob,

The Council approved the attached list for the Quality of Life Commission priorities. The draft rider was never approved. The Mayor's initial plan was to pull out the ACA, Translation, and SNAP and vote on them separately which the Council did on Tuesday, but on Wednesday, there was pushback from Council on the rider for a "block grant" for the remaining monies and instead the majority wanted a list of projects and providers.

I was in the meeting where this was discussed with Mayor Adler, CM Houston, CM Renteria, and MPT Tovo. After much discussion there was consensus on the list to move forward on those contracts as one time monies. In particular, it was understood that the ACA monies should be executed for existing contractors that have current contracts and renewables because of the tight timeline before the startup of the ACA. The ACA split discussed was \$200k for LHCF and \$100k for Foundation Communities. I confirmed this with Walter. There was a comment made by CM Houston prior to going into the meeting that the ACA funds should be RFPd out but this was never approved. Moreover, I think CM Houston thought a portion of the carve out of ACA was coming out of the African American QoL allocation which was not the intention. At the meeting she no longer raised this concern as she saw the African American budget was in left intact.

As you see on the list there was the intent that the agencies listed be granted these funds. The Asian QoL will need to come back to Council to re-prioritize their list. At the meeting MPT Tovo said that the Asian QoL wanted to re-think their priorities so a total sum in addition to the translation services was listed under Asian QoL instead of broken out like the other QoLs.

The additional comment related to the QoLs was that the next year's budget should have a budget development process and review. The Mayor's Office is going to work on this and develop a budget process similar to the Cultural Arts budget allocation. I'll keep you plugged in on this as there will be several departments that need to be involved in this discussion like HHSD, ED, Parks, etc. Hope this helps. If you need the Mayor to verify anything let me know. He took the lead on all of this. Thanks. FMR

Quality of Life Advisory Commissions Budget Priorities					
African American		Asian American		Latino/Hispanic	
	Amount		Amount		Amount
KAZI - Increase opportunities to broadcast additional Council meetings/forums important to the community	\$ 32,970	CPIO Translation and Language Interpretation	\$ 250,000	ACA Outreach and Enrollment services to reduce the 30% uninsured Latino population	\$ 300,000
MEEU Justice Center - Job training and support services for youth who are at risk and adults who have been in the criminal justice system	\$ 250,000	To be allocated	\$ 403,333	Mamis Ayudan to address increased adolescent motherhood through bilingual health services	\$ 35,000
Youth Employment to serve 200 youth	\$ 170,000			Teen Pregnancy Prevention Task Force to develop a community based teen prevention strategic plan	\$ 35,000
Urban Music Festival	\$ 26,000			Con Mi Madre group and individual therapy supporting young Latinas	\$ 60,414
Youth Harvest Foundation (total is \$187,000 but to stay within \$700k the total is reduced)	\$ 174,363			Pipeline Latinitas - connecting Latino youth with Austin's Tech Industry	\$ 35,000
				Ballet East Dance Company to expand folklorico program to Martin MS and Metz Rec Center	\$ 20,000
				Arts HUB (Sam's Corner) in Montopolis for learning opportunities in visual art classes	\$ 55,000
				Tejano Monument Anniversary Celebration	\$ 26,000
				Las Comrades building support systems for Seniors on Fixed Systems	\$ 11,919
				Montopolis and Del Valle Community Health Assessment	\$75,000
<b>TOTAL</b>	<b>\$ 653,333</b>	<b>TOTAL</b>	<b>\$ 653,333</b>	<b>TOTAL</b>	<b>\$653,333</b>

--  
Frank Rodriguez  
Senior Policy Advisor, Mayor's Office  
P.O. Box 1271  
Austin Texas 78767  
[REDACTED]

On Sep 19, 2016, at 11:59 AM, Corona, Bob <Bob.Corona@ausintexas.gov> wrote:

Frank,

Did the attached pass? Is it the basis for Affordable Care Act and QOL items the Council passed last week? We're trying to get handle on it all, thanks!

bob

<Mayor's Budget Rider.docx>

**From:** Rodriguez, Frank  
**To:** [Ann Teich; jill@latinohealthcareforum.org](mailto:Ann.Teich@latinohealthcareforum.org)  
**Cc:** [chelsea@LHCF.org](mailto:chelsea@LHCF.org); [linda@latinohealthcareforum.org](mailto:linda@latinohealthcareforum.org); "[sal@lhcf.org](mailto:sal@lhcf.org)"; "[hector@lhcf.org](mailto:hector@lhcf.org)"; [isabel@latinohealthcareforum.org](mailto:isabel@latinohealthcareforum.org); [Monica A Guzmán, MA](#); [Mary Jo Hernandez](#); "[Aida Cerda-Prazak](#)"  
**Subject:** RE: Mayor's health visit to Rundberg  
**Date:** Monday, July 27, 2015 1:45:00 PM  
**Attachments:** [image001.png](#)

---

We will arrive in Rundberg around 4:15 pm to do a community health briefing at a Rundberg area facility. (Assume though that the Mayor may be running late). You should do a powerpoint and then we would tour the area. The presentation with Q&A should be 30 minutes. The Mayor and I will be in his car and you can lead the way in a separate car. Make sure you have water available. His driver is also a Police Officer and he will want a map to check for security.

You can have whomever you want on the tour that can explain what we are seeing. The tour would be 30 to 40 minutes. The tour should include the area(s) most in need and the community assets with something unusually to see like the mural. It should include Seton, CUC on Rundberg, Y, nonprofits any others? One thing you will need to stress is that even though there appears to be nearby health facilities there is such a great health need that health and wellness initiatives, programs, and services are needed. You will need to coordinate with the provider sites so they are ready to welcome the Mayor and there are no surprises. Also, have a package of information to leave with the Mayor.

We will drive to a site, get out, and you can explain the significance of what are looking at. All of this needs to be done with security in mind for the Mayor so we need to have the information well before the visit, i.e., itinerary, map with addresses, persons attending, etc. As a courtesy I am going to let CM Casar know we are doing this tour in the event he may want to join us. Please do not publicize this visit on Facebook or any websites or newsletters. You can take pictures and post afterward.

You are all encouraged to attend the North Central Clinic event. I will send you the information separately. Thanks for your support of this visit. FMR

---

**From:** Ann Teich [mailto:[\[REDACTED\]](#)]  
**Sent:** Monday, July 27, 2015 1:01 PM  
**To:** Rodriguez, Frank; [jill@latinohealthcareforum.org](mailto:jill@latinohealthcareforum.org)  
**Cc:** [chelsea@LHCF.org](mailto:chelsea@LHCF.org); [linda@latinohealthcareforum.org](mailto:linda@latinohealthcareforum.org); "[sal@lhcf.org](mailto:sal@lhcf.org)"; "[hector@lhcf.org](mailto:hector@lhcf.org)"; [isabel@latinohealthcareforum.org](mailto:isabel@latinohealthcareforum.org); [Monica A Guzmán, MA](#); [Mary Jo Hernandez](#); '[Aida Cerda-Prazak](#)'  
**Subject:** RE: Mayor's health visit to Rundberg

Hello, Frank and Jill,

I think this is a great idea. I have copied Mary Jo Hernandez, Aida Cerda-Prazak (Restore Rundberg healthcare seat), and Monica Guzman on this e-mail because they are also members of the Restore Rundberg Healthcare Initiative Work Group and should be involved in the planning of the tour.

A few questions:

1. What time do you want to begin the tour and how long should it last?
2. How will the mayor be transported during the tour? Are we responsible for his transportation?
3. In what form do you want the tour map, i.e., should it be an actual map or can we just list buildings/addresses?
4. Would it be a good idea for members of the RR Healthcare Work Group to attend the National Health Center Awareness event on Aug. 11?

When these questions are answered, we will need to convene at meeting of the Healthcare Work Group to discuss the itinerary/route ASAP.

Thanks!

Ann

---

**From:** Rodriguez, Frank [<mailto:Frank.Rodriguez@austintexas.gov>]  
**Sent:** Monday, July 27, 2015 11:29 AM  
**To:** [jill@latinohealthcareforum.org](mailto:jill@latinohealthcareforum.org); [REDACTED]  
**Cc:** [chelsea@LHCF.org](mailto:chelsea@LHCF.org); [linda@latinohealthcareforum.org](mailto:linda@latinohealthcareforum.org); [sal@lhcf.org](mailto:sal@lhcf.org); [hector@lhcf.org](mailto:hector@lhcf.org); [isabel@latinohealthcareforum.org](mailto:isabel@latinohealthcareforum.org)  
**Subject:** Mayor's health visit to Rundberg

Jill/Ann,

The Mayor is scheduled to attend CH's event to celebrate National Health Center Awareness. The event is Tuesday, August 11 from 6 pm to 8 pm at the North Central health center. I've arranged for him to tour Rundberg before this event and I would like to schedule this tour with you. I'm thinking that we meet somewhere in Rundberg where you give an overview of Rundberg needs (focusing on health) and then do a quick tour of the area. This is a rare opportunity for the Mayor to have the time to do this in the midst of the budget process so I hope we can do this. He will speak afterward at the event. So, I would need an itinerary and tour map as soon as possible. Let me know. Thanks.  
FMR

--

**Frank Rodriguez**, Senior Policy Advisor | Office of Austin Mayor Steve Adler  
Austin City Hall | 301 W. Willie Nelson Blvd | Austin TX 78701  
512.978.2131 (office) | [REDACTED] (cell)  
Email: [frank.rodriguez@austintexas.gov](mailto:frank.rodriguez@austintexas.gov)

*We want Austin to be the most livable and best-managed city in the country.*





**From:** Rodriguez, Frank  
**To:** [isabel@latinohealthcareforum.org](mailto:isabel@latinohealthcareforum.org); [Jill Ramirez](#)  
**Subject:** QofL  
**Date:** Wednesday, August 05, 2015 1:09:13 PM


---

Send me the request and I'll forward to the Mayor and then he will direct Barbara to schedule a meeting. FMR

"Frank...

You had asked about Hispanic/Latino QofL Adv. Commission's budget recommendations. I would like with other QoL Commissioners to brief you and the Mayor to allow enough time for your consideration. Please let me know and we will accommodate the Mayor's schedule. Thanks.

Isabel

Frank Rodriguez  
P.O. Box 1271  
Austin Texas 78767  


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**From:** Rodriguez, Frank  
**To:** [Mayor Adler](#)  
**Cc:** [Shack, Barbara](#)  
**Subject:** FW: Meeting with the Mayor in regards to the HQoLC  
**Date:** Wednesday, August 05, 2015 2:49:00 PM

---

Let me know. Thanks. FMR

---

**From:** Maria Rios [mailto: ]  
**Sent:** Wednesday, August 05, 2015 2:27 PM  
**To:** Rodriguez, Frank  
**Subject:** Meeting with the Mayor in regards to the HQoLC

Frank, I'm writing to you in my Hispanic/Latino QofL Adv. Commissioner role, we would like to meet with the Mayor next week in regards to the budget recommendations. I would like with meet along with the present and past chairs of QoL Commission to brief you and the Mayor and any other pertinent staff in regards to our budget recommendations. Please let me know and we will accommodate the Mayor's schedule next week, so that I can get our chairs to be present.

Thanks.

*Isabel Lopez-Aguilar (Rios)*

***"From the depth of need and despair, people can work together, can organize themselves to solve their own problems and fill their own needs with dignity and strength." -Cesar Chavez***

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**From:** Rodriguez, Frank  
**To:** [chelsea.lhcf.org](mailto:chelsea.lhcf.org)  
**Cc:** [isabel.latinohhealthcareforum.org](mailto:isabel.latinohhealthcareforum.org); [Jill Ramirez](#); [Linda Smith](#)  
**Subject:** Re: Memo to M&C Resolution #20150507-027 Health Inequities in Austin Travis....pdf  
**Date:** Saturday, August 08, 2015 10:58:33 AM

---

I'm meeting with the Mayor and going to use several of the points you raised. Thanks! FMR

Frank Rodriguez  
P.O. Box 1271  
Austin Texas 78767  
[REDACTED]

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On Aug 8, 2015, at 9:56 AM, chelsea [lhcf.org](mailto:lhcf.org) <[chelsea@lhcf.org](mailto:chelsea@lhcf.org)> wrote:

After gaining my composure, my reasoned response would be to emphasize the disparities that are happening to all of the minorities, and that there needs to be more clinical assessment of the disparities and needs citywide.

For our own project, I will be keeping it positive, emphasizing our strengths of being inclusive, proportionate and innovative. Hopefully our data can speak for itself, and we just focus our efforts on promoting the proposal as much as possible.

On August 8, 2015 at 5:50 AM "Rodriguez, Frank"

<[Frank.Rodriguez@austintexas.gov](mailto:Frank.Rodriguez@austintexas.gov)> wrote:

Note that there is no mention of Latino health disparities other than those

for immigrants. We need a thoughtful response to this report that supplements

✓ Accept ▾ ? Tentative ▾ ✕ Decline ▾ 🕒 Propose New Time ▾ 📅 Calendar...



Fri 8/14/2015 9:20 AM

Shack, Barbara

Isabel Lopez-Aguilar (Rios) & Jill Ramirez

Required

SA Staff; Adler, Steve; Rodriguez, Frank

📘 We couldn't find this meeting in the calendar. It may have been moved or deleted.

**When** Sunday, August 16, 2015 11:00 AM-12:00 PM

**Location** Mayor's office

11 <sup>AM</sup>

12 <sup>PM</sup>

1

"Mayor as your appointee to the Hispanic Quality of Life Commission, I would like to meet with you and present our budget recommendations for this budget period. Our current chair Ms. Jill Ramirez and I will be ready to meet at your earliest convenience, we have blocked our schedule next week to be available.

Please let me know a good time.

Thanks

Isabel Lopez-Aguila"

Frank, I'm writing to you in my Hispanic/Latino QoL Adv. Commissioner role, we would like to meet with the Mayor next week in regards to the budget recommendations. I would like to meet along with the present and past chairs of QoL Commission to brief you and the Mayor and any other pertinent staff in regards to our budget recommendations. Please let me know and we will accommodate.

🖨️ 📄 🔍 + 100%

**From:** Shack, Barbara  
**To:** [Isabel Rios](#)  
**Cc:** [Rodriguez, Frank](#)  
**Subject:** RE: FW: Meeting with the Mayor in regards to the HQoLC  
**Date:** Friday, August 14, 2015 9:23:43 AM

---

Isabel –

Thank you! Please call Frank on his cell when you arrive. He will meet you at the elevator in the parking garage on P1 to get you into the office. [REDACTED]

We look forward to seeing you then.

Thank you!

Barbara

Barbara Shack  
Assistant to the Mayor  
City of Austin  
512.978.2122  
[Barbara.shack@austintexas.gov](mailto:Barbara.shack@austintexas.gov)

**From:** Isabel Rios [mailto:[REDACTED]]  
**Sent:** Thursday, August 13, 2015 6:41 PM  
**To:** Shack, Barbara  
**Subject:** Re: FW: Meeting with the Mayor in regards to the HQoLC

Yes, the time is perfect for us.

Thank you.

On Aug 13, 2015 5:18 PM, "Shack, Barbara" <[Barbara.Shack@austintexas.gov](mailto:Barbara.Shack@austintexas.gov)> wrote:

Isabel –

Could we find a time for you to meet with the Mayor? Are you available this Sunday at 11am?

Thank you,

Barbara



Barbara Shack

Assistant to the Mayor

City of Austin

512.978.2122

[Barbara.shack@austintexas.gov](mailto:Barbara.shack@austintexas.gov)

---

**From:** Maria Rios [[mailto:\[REDACTED\]](mailto:[REDACTED])]  
**Sent:** Wednesday, August 05, 2015 2:27 PM  
**To:** Rodriguez, Frank  
**Subject:** Meeting with the Mayor in regards to the HQoLC

Frank, I'm writing to you in my Hispanic/Latino QoFL Adv. Commissioner role, we would like to meet with the Mayor next week in regards to the budget recommendations. I would like with meet along with the present and past chairs of QoL Commission to brief you and the Mayor and any other pertinent staff in regards to our budget recommendations. Please let me know and we will accommodate the Mayor's schedule next week, so that I can get our chairs to be present.

Thanks.

*Isabel Lopez-Aguilar (Rios)*

***"From the depth of need and despair, people can work together, can organize themselves to solve their own problems and fill their own needs with dignity and strength." -Cesar Chavez***

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**From:** Rodriguez, Frank  
**To:** [Mayor Adler](#)  
**Subject:** Q of L  
**Date:** Tuesday, September 08, 2015 4:54:50 PM

---

Via text from Jill, Isabel, et al are concerned that you are doing Q of L last and this will be the target for cuts. FMR

**From:** Mayor Adler  
**To:** [Rodriguez, Frank](#)  
**Subject:** Re: Q of L  
**Date:** Tuesday, September 08, 2015 5:03:34 PM

---

it's next...

and remember, we'll be going back to visit all the sections...

> On Sep 8, 2015, at 4:54 PM, Rodriguez, Frank <Frank.Rodriguez@austintexas.gov> wrote:

>

> Via text from Jill, Isabel, et all are concerned that you are doing Q of L last and this will be the target for cuts.  
FMR

**From:** frank rodriguez  
**To:** [Renteria, Sabino](#)  
**Subject:** Fwd: Hispanic/Lationo Quality of Life Recommendations Request  
**Date:** Tuesday, September 08, 2015 5:15:33 PM

---

FYI — Good cheat sheet. FMR

Begin forwarded message:

**From:** Jill Ramirez [REDACTED] >  
**Subject:** Fwd: Hispanic/Lationo Quality of Life Recommendations Request  
**Date:** September 8, 2015 at 5:09:28 PM CDT  
**To:** Frank Rodriguez <[REDACTED]>

Sent from my iPhone

Begin forwarded message:

**From:** "Cardenas, Nancy" <[Nancy.Cardenas@austintexas.gov](mailto:Nancy.Cardenas@austintexas.gov)>  
**Date:** September 8, 2015 at 3:06:48 PM CDT  
**To:** [REDACTED] " [REDACTED] >  
**Subject:** RE: Hispanic/Lationo Quality of Life Recommendations Request

Good Afternoon,

Thank you for contacting our office. As we move forward with open conversations about the upcoming budget, your comments will be submitted for review when this critical issue comes up. We take your comments very seriously and appreciate you taking the time to write to us. I will make sure that Mayor Adler is able to see this. Please let me know if there is anything else I can help you with.

Nancy Cárdenas  
Constituent Services Director  
City of Austin Mayor Steve Adler  
512-978-2127  
301 W. 2nd St. Austin, TX 78701

**From:** Jill Ramirez [[mailto:\[REDACTED\]](mailto:[REDACTED])]  
**Sent:** Monday, September 07, 2015 9:48 PM  
**To:** Adler, Steve; Houston, Ora; District 2; Renteria, Sabino; Casar, Gregorio; District 5; Zimmerman, Don; District 7; District 8; Tovo, Kathie; District10  
**Cc:** [REDACTED]  
**Subject:** Hispanic/Lationo Quality of Life Recommendations Request

This message is from Jill Ramirez. [REDACTED]

Hispanic/Latino Quality of Life Resource Advisory Commission  
Budget Request

September 7, 2015

Dear Council Members,

Thank you for your tireless work on the budget. We know that you have a difficult task ahead of you and we are appreciative and respect the way you have undertaken this important endeavor. The Hispanic/Latino Quality of Life Advisory Commission wants to reiterate our request and continue to seek your approval. We have reviewed the Council Concept Menu and subsequent Concept Budget and note the following information.

1.33 - Feasibility study for the Serie Project \$55,000 - This study will determine the best way for the Serie Project, a 30 year community fine art print-making program through a feasibility study to move forward.

1.35 - Marketing for Dia De Los Muertos \$25,000 - This project will continue to promote the ever growing Dia de los Muertos festivities throughout the City.

1.37 - Funding to enroll the uninsured in the ACA Insurance Marketplace \$300,000 - This project will serve the 8 zip codes that contain the most uninsured. The largest uninsured population in the City and County are Latinos representing almost half of the uninsured. This project provides "boots on the ground" to reach out to the most vulnerable and underserved that have a myriad of issues in accessing health insurance from language barriers, transportation, mixed legal status, and others. Accessing insurance will not only help these families but will leverage and bring in federal resources to the area.

1.38 - Funding for increased support of the Rundberg's community effort to minimize health issues \$175,000 - Funding will provide for culturally competent community health workers to implement key actions identified through the Rundberg health needs assessment to increase the health of the community through interventions in health, healthcare, and other social determinants of health.

1.44 - Funding to create a Latino Chronic Care initiative \$1,500,000. This project is intended to mirror the already funded \$700,000+ African American Chronic care program. The Chronic disease program will address the highest burden Latino chronic diseases.



In closing, please consider the following facts:

• Latinos are fastest growing population in the country and City of Austin

• Important to address challenges that this community faces

• Well-documented that Latinos face significant disparities in health, health care, education, and economic indicators

• In addition to the City's current efforts, this budget request begins to address gaps for Latinos

• Closing the gaps will make the City of Austin more competitive and stronger in the future

Respectfully,

Jill Ramirez, Chair  
HLQLRAC

Street address: 5309 Presidio Rd

Council District: District not found

**From:** Mayor Adler  
**To:** [Rodriguez, Frank](#); [Mayor Adler](#)  
**Subject:** RE: You have been invited to a roundtable discussion with Secretary of Labor at the LHCF offices  
**Date:** Tuesday, November 17, 2015 8:58:00 AM

---

Sounds good to me...

Steve Adler  
Mayor  
City of Austin  
512.978.2100  
[Steve.adler@austintexas.gov](mailto:Steve.adler@austintexas.gov)

---

**From:** Rodriguez, Frank  
**Sent:** Tuesday, November 17, 2015 6:32 AM  
**To:** Mayor Adler  
**Subject:** Fwd: You have been invited to a roundtable discussion with Secretary of Labor at the LHCF offices

FYI -- The Secretary of Labor is visiting Austin on Saturday. The Mayor's office is assisting with his visit (Jason is on this) and I'll be attending the roundtable discussion representing the Mayor's office. If there's any asks you think of let me know. Right now, I'm thinking we should explore training monies to support the health field since this is one of the fastest growing sectors. FMR

--

Frank Rodriguez  
Senior Policy Advisor, Mayor's Office  
P.O. Box 1271  
Austin Texas 78767  
[REDACTED]

Begin forwarded message:

**From:** Jill Ramirez <[jill@latinohealthcareforum.org](mailto:jill@latinohealthcareforum.org)>  
**Date:** November 16, 2015 at 5:04:14 PM CST  
**To:** Frank Rodriguez <[REDACTED]>  
**Cc:** [Snyder.Kimble.B@dol.gov](mailto:Snyder.Kimble.B@dol.gov), [REDACTED]  
"isabel@lhcf.org" <[isabel@lhcf.org](mailto:isabel@lhcf.org)>  
**Subject:** You have been invited to a roundtable discussion with Secretary of Labor at the LHCF offices  
**Reply-To:** [jill@latinohealthcareforum.org](mailto:jill@latinohealthcareforum.org)

Dear Mr. Rodriguez,  
We are excited to extend you an invitation to participate in a roundtable discussion regarding the Affordable Care Act with the US Secretary of labor, Mr. Thomas Perez. Secretary Perez will be visiting our offices on November, 21, 2015, 6601 Felix Ave. Austin, TX., from 9 -11 am. We are thrilled to have been selected as the hosting organization for Secretary Perez and want to include Affordable Care Act supporters such as yourself as part of our discussion. We

believe your expertise and knowledge in health and healthcare will bring a unique perspective to the roundtable talk.

Attached is a vetting form that the Secretary staff needs by tomorrow, Tuesday, Nov. 17. In addition, they need a bio and information the Mayor's position on the ACA. Please email those three items to [Snyder.Kimble.B@dol.gov](mailto:Snyder.Kimble.B@dol.gov)

For more info, please do not hesitate to call me at 512-484-1507 or email Isabel Lopez at [isabel@lhcf.org](mailto:isabel@lhcf.org)

Warmest Regards,

--

Jill C. Ramírez. M.Ed.  
Chief Executive Officer  
Latino HealthCare Forum  
6601 Felix Ave.  
Austin, TX 78741  
(512) 484-1507

**From:** Rodriguez, Frank  
**To:** [jill@latinohealthcareforum.org](mailto:jill@latinohealthcareforum.org); [isabel@latinohealthcareforum.org](mailto:isabel@latinohealthcareforum.org)  
**Subject:** Board nominations  
**Date:** Wednesday, June 24, 2015 5:12:00 PM  
**Attachments:** [06-25-15 Nominations Waivers.doc](#)

---

Congrats! You and Isabel are on the nominations list for Thursday's Council board meeting. FMR

--


**Frank Rodriguez**, Senior Policy Advisor | Office of Austin Mayor Steve Adler  
Austin City Hall | 301 W. Willie Nelson Blvd | Austin TX 78701  
512.978.2131 (office) | [REDACTED] (cell)  
Email: [frank.rodriguez@austintexas.gov](mailto:frank.rodriguez@austintexas.gov)

*We want Austin to be the most livable and best-managed city in the country.*

**From:** Rodriguez, Frank  
**To:** [Mayor Adler](#)  
**Cc:** [Cumberbatch, Ashton](#); [Varghese, Lesley](#); [Cortez, John Michael](#); [Prince, Kazique](#)  
**Subject:** Re: Community Partner  
**Date:** Tuesday, July 14, 2015 4:09:04 PM

---

Isabel is the same person. She recently changed her marital status and had a name change. Also, need to add Jill Ramirez. FMR

Frank Rodriguez  
P.O. Box 1271  
Austin Texas 78767  


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On Jul 14, 2015, at 10:11 AM, Mayor Adler <[Mayor.Adler@austintexas.gov](mailto:Mayor.Adler@austintexas.gov)> wrote:

I thought the person we were going to approach was Isabel Rios. Frank? Your call.

S

Sent from my phone.

On Jul 14, 2015, at 10:20 AM, Prince, Kazique  
<[Kazique.Prince@austintexas.gov](mailto:Kazique.Prince@austintexas.gov)> wrote:

As a follow up from our discussion last week, I spoke with Isabel Lopez Aguilar yesterday who agreed to work with our team as is Lisa Byrd as we go through the process. I'll fill her in and update her on our progress today.

Best,

KP

**Kazique J. Prince, Ph.D.,**

Senior Policy Advisor & Education Coordinator | Office of Austin Mayor Steve Adler  
Austin City Hall | 301 W. Willie Nelson Blvd | Austin TX 78701



512.978.2125 (office) | [REDACTED] (cell)

Email: [kazique.prince@austintexas.gov](mailto:kazique.prince@austintexas.gov)

*We want Austin to be the most livable and best-managed city in the country.*

<image001.jpg>

<image001.jpg>

**From:** Rodriguez, Frank  
**To:** [chelsea.lhcf.org](mailto:chelsea.lhcf.org)  
**Subject:** RE: Healthy ATC, Shaping a Healthier Austin Travis County  
**Date:** Tuesday, July 28, 2015 6:06:00 PM

---


I'll work on getting y'all on the Council. FMR

-----Original Message-----

From: chelsea.lhcf.org [<mailto:chelsea@lhcf.org>]  
Sent: Tuesday, July 28, 2015 4:53 PM  
To: Rodriguez, Frank; Linda Smith  
Cc: isabel.latinohhealthcareforum.org; Hector Torres; Sal Valdez; jill  
Subject: Re: Healthy ATC, Shaping a Healthier Austin Travis County

From what I heard from the chronic disease coalition meeting yesterday, this is the data platform Central Health bought to be able to access health and SDOH indicators. The data from the platform they bought it from (I think the Healthy Communities Institute?), drives the data that will be displayed on this new website, Healthy ATC. I heard speakers will be Adler, Eckhardt and Katrina.

This may be in conjunction with an announcement on the health equity council.  
Though the clout will be questionable, I still think we need to find a way to get some of our own on CH's equity council.

> On July 28, 2015 at 4:38 PM Linda Smith  
> <[linda@latinohealthcareforum.org](mailto:linda@latinohealthcareforum.org)>  
> wrote:  
>  
>  
> Who put this together? Curious.  
>  
> Sent from my iPhone  
>  
> > On Jul 28, 2015, at 5:33 PM, Rodriguez, Frank  
> > <[Frank.Rodriguez@austintexas.gov](mailto:Frank.Rodriguez@austintexas.gov)> wrote:  
> >  
> > FYI  
> >  
> > Frank Rodriguez  
> > P.O. Box 1271  
> > Austin Texas 78767  
> >   
> >  
> >> Confidentiality Notice: The information contained in this email and  
> >> any attachments is intended only for the recipient[s] listed above  
> >> and may be privileged and confidential. Any dissemination, copying,  
> >> or use of or reliance upon such information by or to anyone other  
> >> than the recipient[s] listed above is prohibited. If you have  
> >> received this message in error, please notify the sender  
> >> immediately at the email address above and destroy any and all copies of this message.  
> >  
> >  
> > Begin forwarded message:  
> >

>>> From: "Corona, Bob" <Bob.Corona@austintexas.gov>  
>>> Date: July 28, 2015 at 4:31:04 PM CDT  
>>> To: Council Executive Assistants  
>>> <CouncilExecutiveAssistants@austintexas.gov>, Council Executive  
>>> Secretaries DL <CouncilExecutiveSecretariesDL@austintexas.gov>  
>>> Cc: "Garza, Jason" <jason.garza@austintexas.gov>  
>>> Subject: Healthy ATC, Shaping a Healthier Austin Travis County You  
>>> and your Council Member are invited to attend the Healthy ATC,  
>>> Shaping a Healthier Austin Travis County launch event. The Travis  
>>> County Health and Human Services & Veterans Service, City of Austin  
>>> HHSD, and Central Health have formed a collaborative that will be  
>>> announced on Wednesday, August 19, 2015.  
>>>  
>>> Please let us know if your Council Member will attend so that we  
>>> may post public notice of no Council action if necessary.  
>>>  
>>> Contact Cassie Deleon, HHSD Manager, (512) 972-6760, if you have  
>>> any questions, thanks!  
>> <Memo - Shaping a Healthier Austin Travis County.doc>

**From:** Rodriguez, Frank  
**To:** [Jill Ramirez](#); [Linda Smith](#)  
**Subject:** Equitable Development on September 21  
**Date:** Tuesday, September 15, 2015 10:54:00 AM  
**Attachments:** [Memo from ACM Edwards ACM Goode and ACM Lumbreras regarding the EPA Equ....pdf](#)  
[image001.png](#)

---

Please see the attached email about an upcoming conference. If you haven't been invited, ask CM Renteria to send an email to Katie [Katie.Mulholland@austintexas.gov](mailto:Katie.Mulholland@austintexas.gov) letting her know that the LHCF will attend the conference as a stakeholder sponsored by his office on September 21. Send Chelsea to it. FMR

--

**Frank Rodriguez**, Senior Policy Advisor | Office of Austin Mayor Steve Adler  
Austin City Hall | 301 W. Willie Nelson Blvd | Austin TX 78701  
512.978.2131 (office) | [REDACTED] (cell)  
Email: [frank.rodriguez@austintexas.gov](mailto:frank.rodriguez@austintexas.gov)

*We want Austin to be the most livable and best-managed city in the country.*



**From:** isabel latinohealthcareforum.org  
**To:** [Rodriguez, Frank](#)  
**Cc:** [jill latinohealthcareforum.org](#)  
**Subject:** Re: FW: Draft Nominations & Waivers  
**Date:** Tuesday, September 29, 2015 3:53:35 PM

---

Gracias!!! That CH spy really wanted it...

we will just keep swimming...

On September 29, 2015 at 2:33 PM "Rodriguez, Frank"  
<Frank.Rodriguez@austintexas.gov> wrote:

You're on the agenda for a Joint-Inclusion appointment. Congrats! FMR

---

**From:** Estrada, Deena  
**Sent:** Tuesday, September 29, 2015 10:47 AM  
**To:** Estrada, Deena  
**Subject:** Draft Nominations & Waivers

All,

Please see the current list of nominations and waivers. Please make additions today or tomorrow before 2pm.

Many thanks!

**Deena Estrada-Salinas** | Business Process Specialist

Office of the City Clerk | 512.974.2497 | [deena.estrada@austintexas.gov](mailto:deena.estrada@austintexas.gov)

Questions? Please check out the [Boards and Commissions Information Center](#)!

Program Coordinator  
ACA-COA Secure Your Health



## Latino Healthcare Forum

"I can do things you cannot, you can do things I cannot; together we can do great things." -  
Mother Theresa

**From:** Rodriguez, Frank  
**To:** [Hensley, Sara](#)  
**Subject:** FW: Request for Project Support / Facility Use - Affordable Care Act Project  
**Date:** Thursday, October 29, 2015 3:41:00 PM

---

Ms. Hensley,

The City awarded the ACA Marketplace outreach and enrollment to the Latino HealthCare Forum. Apparently they have made a request to your department and are following up. Could you look into this request and let me know? Thanks. FMR

---

**From:** Sal Val [mailto:sal@lhcf.org]  
**Sent:** Thursday, October 29, 2015 11:21 AM  
**To:** Rodriguez, Frank  
**Cc:** jill@lhcf.org; 'Linda Smith'  
**Subject:** Request for Project Support / Facility Use - Affordable Care Act Project

Mr. Rodriguez

I am the Chief Operations Officer (COO) of the Latino HealthCare Forum (LHCF) and we are the contractor for the City's program to enroll underserved and vulnerable community members into the Affordable Care Act's (ACA) Insurance Marketplace.

The LHCF Board of Directors and Management would like to thank the Mayor and Council for supporting the effort to assist the community in securing affordable healthcare insurance. You might be aware that the Latino HealthCare Forum spoke to the Council during the budget process on these important efforts. The Council was supportive of the City providing facilities to assist in the enrollment process. The request we have made is to have space to set up a table and three chairs at convenient days and times with some degree of privacy so that our staff members can provide onsite outreach and enrollment. The facilities we are specifically requesting include:

Dove Springs Recreation center at 5801 Ainez Dr, Austin, TX 78744

St. Johns community center 7500 Blessing Ave, Austin, TX 78752

Turner Roberts Recreation Center 7201 Colony Loop Dr. Austin, TX 78724

Gus Garcia Recreation center 1201 E. Rundberg Lane Austin, TX 78753

These sites are where data reflects some of the most concentrated areas of uninsured Austinites. These sites make it easy to get to and identify with for our community members for the ACA Insurance Marketplace enrollment process. This begins on November 1 and we are hopeful that the City will respond to our previous request as soon as possible. Any assistance your office can provide will be helpful. Please let me know if I can provide any additional information. Thank you.

Sal Valdez

COO  
LHCF.

**From:** Rodriguez, Frank  
**To:** [sal@lhcf.org](mailto:sal@lhcf.org); [jill@latinohealthcareforum.org](mailto:jill@latinohealthcareforum.org) ([jill@latinohealthcareforum.org](mailto:jill@latinohealthcareforum.org)); [Linda Smith; isabel@latinohealthcareforum.org](mailto:Linda.Smith@latinohealthcareforum.org)  
**Subject:** RE: Request for Project Support / Facility Use - Affordable Care Act Project  
**Date:** Monday, November 16, 2015 10:23:00 AM

---

PLEASE LET ME KNOW! If you want my help with stuff like this, then you need to get back with me so I can either thank folks or stay on the request. FMR

---

**From:** Rodriguez, Frank  
**Sent:** Thursday, November 05, 2015 12:56 PM  
**To:** 'sal@lhcf.org'; 'jill@latinohealthcareforum.org' ([jill@latinohealthcareforum.org](mailto:jill@latinohealthcareforum.org)); Linda Smith; [isabel@latinohealthcareforum.org](mailto:isabel@latinohealthcareforum.org)  
**Subject:** FW: Request for Project Support / Facility Use - Affordable Care Act Project

Did y'all get with them on this? Let me know. Thanks. FMR

---

**From:** Hensley, Sara  
**Sent:** Thursday, October 29, 2015 5:15 PM  
**To:** Rodriguez, Frank  
**Subject:** Fwd: Request for Project Support / Facility Use - Affordable Care Act Project

FYI. Sara

Sent from my iPhone

Begin forwarded message:

**From:** "McNeeley, Kimberly" <[Kimberly.McNeeley@austintexas.gov](mailto:Kimberly.McNeeley@austintexas.gov)>  
**Date:** October 29, 2015 at 5:07:26 PM CDT  
**To:** "Massie, Lucas" <[Lucas.Massie@austintexas.gov](mailto:Lucas.Massie@austintexas.gov)>, "[sal@lhcf.org](mailto:sal@lhcf.org)" <[sal@lhcf.org](mailto:sal@lhcf.org)>  
**Cc:** "Hensley, Sara" <[Sara.Hensley@austintexas.gov](mailto:Sara.Hensley@austintexas.gov)>, "Parker, Alexandra" <[Alexandra.Parker@austintexas.gov](mailto:Alexandra.Parker@austintexas.gov)>, "Moreno, Christina" <[Christina.Moreno@austintexas.gov](mailto:Christina.Moreno@austintexas.gov)>, "Shaw, April" <[April.Shaw@austintexas.gov](mailto:April.Shaw@austintexas.gov)>  
**Subject:** Fwd: Request for Project Support / Facility Use - Affordable Care Act Project

On behalf of the Parks and Recreation Department please know the team is happy to assist with the ACA Insurance Marketplace enrollment process.

Please know for whatever reason, the communication below is the first time we were made aware of the request. Given the start date, realize we will need to make arrangements quickly. As such allow me to introduce you to Lucas Massie, Division Manager for Recreation Centers. He is the best individual to assist. By way of this email he now has your email contact. To expedite communications, perhaps telephone communication is best. Lucas can be reached at (512) 294-9625. I can be reached at 512-422-9396. Please call or email Lucas regarding this matter.

Regards,

Kimberly

Sent from my iPhone

Begin forwarded message:

**From:** "Hensley, Sara" <[Sara.Hensley@austintexas.gov](mailto:Sara.Hensley@austintexas.gov)>  
**Date:** October 29, 2015 at 3:53:04 PM CDT  
**To:** "Rodriguez, Frank" <[Frank.Rodriguez@austintexas.gov](mailto:Frank.Rodriguez@austintexas.gov)>  
**Cc:** "Shaw, April" <[April.Shaw@austintexas.gov](mailto:April.Shaw@austintexas.gov)>, "McNeeley, Kimberly" <[Kimberly.McNeeley@austintexas.gov](mailto:Kimberly.McNeeley@austintexas.gov)>  
**Subject: Re: Request for Project Support / Facility Use - Affordable Care Act Project**

Frank: I sure will! Sara  
Kimberly???  
Sent from my iPhone

On Oct 29, 2015, at 3:41 PM, Rodriguez, Frank  
<[Frank.Rodriguez@austintexas.gov](mailto:Frank.Rodriguez@austintexas.gov)> wrote:

Ms. Hensley,

The City awarded the ACA Marketplace outreach and enrollment to the Latino HealthCare Forum. Apparently they have made a request to your department and are following up. Could you look into this request and let me know?  
Thanks. FMR

---

**From:** Sal Val [<mailto:sal@lhcf.org>]  
**Sent:** Thursday, October 29, 2015 11:21 AM  
**To:** Rodriguez, Frank  
**Cc:** [jill@lhcf.org](mailto:jill@lhcf.org); 'Linda Smith'  
**Subject:** Request for Project Support / Facility Use - Affordable Care Act Project

Mr. Rodriguez

I am the Chief Operations Officer (COO) of the Latino HealthCare Forum (LHCF) and we are the contractor for the City's program to enroll underserved and vulnerable community members into the Affordable Care Act's (ACA) Insurance Marketplace.

The LHCF Board of Directors and Management would like to thank the Mayor and Council for supporting the effort to



assist the community in securing affordable healthcare insurance. You might be aware that the Latino HealthCare Forum spoke to the Council during the budget process on these important efforts. The Council was supportive of the City providing facilities to assist in the enrollment process. The request we have made is to have space to set up a table and three chairs at convenient days and times with some degree of privacy so that our staff members can provide onsite outreach and enrollment. The facilities we are specifically requesting include:

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Gus Garcia Recreation center 1201 E. Rundberg Lane Austin, TX 78753

These sites are where data reflects some of the most concentrated areas of uninsured Austinites. These sites make it easy to get to and identify with for our community members for the ACA Insurance Marketplace enrollment process. This begins on November 1 and we are hopeful that the City will respond to our previous request as soon as possible. Any assistance your office can provide will be helpful. Please let me know if I can provide any additional information. Thank you.

Sal Valdez  
COO  
LHCF.

From: [Isabel](#)  
To: [Rodriguez, Frank](#)  
Subject: Austin energy insert.  
Date: Thursday, December 03, 2015 3:00:27 PM  
Attachments: [image002.png](#)

---

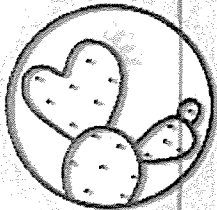
Frank,

Hope you are doing well. As you know the City of Austin has selected the Latino HealthCare Forum (LHCF) to conduct outreach and enrollment services for the Affordable Care Act's Insurance Marketplace. Additionally, the LHCF was also selected by the Federal Government to be its Federal Navigator for Central Texas. The City has been generous in providing its facilities for use by the LHCF to enroll community members. Mayor Adler is also taping a public service TV promo. During our presentation to the City Council we also asked for the City to consider using utility bill inserts to promote the Insurance Marketplace. Other Texas counties and cities provide this service to support the ACA Insurance Marketplace. Could you put us in touch with the appropriate department representative to explore this option? Thanks.

Isabel Lopez-Aguilar

**Program Coordinator**

LHCF-Center for Healthy Communities  
6601 Felix Ave  
512-386-5139




**From:** Rodriguez, Frank  
**To:** [Isabel](#)  
**Subject:** Fwd: LHCF space at COA Public Libraries.  
**Date:** Thursday, December 10, 2015 11:43:12 PM  
**Attachments:** [image003.gif](#)  
[image004.png](#)

---

FYI -- What do you need so I'll know when she calls me? FMR

--

Frank Rodriguez  
Senior Policy Advisor, Mayor's Office  
P.O. Box 1271  
Austin Texas 78767  


Begin forwarded message:

**From:** "Branch, Brenda" <[Brenda.Branch@austintexas.gov](mailto:Brenda.Branch@austintexas.gov)>  
**Date:** December 10, 2015 at 4:42:20 PM CST  
**To:** "Rodriguez, Frank" <[Frank.Rodriguez@austintexas.gov](mailto:Frank.Rodriguez@austintexas.gov)>  
**Subject:** RE: LHCF space at COA Public Libraries.

Frank:

We are already partnering with LHCF and planning an outreach at the Southeast Austin community Branch Library (they requested that location in particular). We are open to providing information at other locations. Sharon Herfurth, Manager of Programs and Partnerships, will be getting in touch with you.

Thanks,

Brenda

---

**From:** Rodriguez, Frank  
**Sent:** Thursday, December 10, 2015 1:17 PM  
**To:** Branch, Brenda  
**Subject:** FW: LHCF space at COA Public Libraries.

Brenda,

The Mayor's office would appreciate any assistance you can provide the LHCF in getting word out to the community to obtain health insurance. The City is supporting this nonprofit once again this year. If you could contact them directly we would appreciate it. Let me know. Thanks. FMR

---

**From:** Isabel [<mailto:isabel@lhcf.org>]  
**Sent:** Thursday, December 10, 2015 12:44 PM

**To:** Rodriguez, Frank  
**Cc:** 'Linda Smith'; 'sal'; [jill@lhcf.org](mailto:jill@lhcf.org)  
**Subject:** LHCF space at COA Public Libraries.

Frank,

Hope you are doing well. As you know the City of Austin has selected the Latino HealthCare Forum (LHCF) to conduct outreach and enrollment services for the Affordable Care Act's Insurance Marketplace. Additionally, the LHCF was also selected by the Federal Government to be its Federal Navigator for Central Texas. The City has been generous in providing its facilities for use by the LHCF to enroll community members. Mayor Adler is also taping a public service Radio promo. During our presentation to the City Council we also asked for the City to consider libraries and their events to promote the Insurance Marketplace and lend us space to conduct enrollments. Other Texas counties and cities provide this service to support the ACA Insurance Marketplace. Could you put us in touch with the appropriate department representative to explore this option? Thanks.

*Isabel Lopez-Aguilar*

**Program Coordinator**

LHCF-Center for Healthy Communities

6601 Felix Ave

512-386-5139



From: Rodriguez, Frank  
To: Mayor Adler  
Cc: Wick, Jim  
Bcc: [REDACTED]; Jim Linda Smith; Linda Smith; Cynthia Valadez  
Subject: 50th Anniversary of Medicare/Medicaid on July 30  
Date: Friday, July 24, 2015 11:01:43 AM

---

There are some community health advocates (Latino HealthCare Forum, Senior citizen groups, and others) that want to organize an event/press conference to acknowledge the 50th anniversary of M/M on July 30th. This is short notice, but maybe we can do something simple and quick. More on this early next week. I've asked them to contact Jim and of course, I can help. FMR

Frank Rodriguez  
P.O. Box 1271  
Austin Texas 78767  
[REDACTED]

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**From:** Jill Ramirez  
**To:** [Rodriguez, Frank](#)  
**Cc:** [isabel@latinohealthcareforum.org](mailto:isabel@latinohealthcareforum.org); [Linda Smith](#); [sal@lhcf.org](mailto:sal@lhcf.org)  
**Subject:** Re: U.S. Dept of Labor Secretary Perez to visit Austin  
**Date:** Thursday, November 05, 2015 5:59:28 PM

---

We're working on it n you're involved. Let's meet n plan.

Sent from my iPhone

On Nov 5, 2015, at 5:05 PM, Rodriguez, Frank <[Frank.Rodriguez@austintexas.gov](mailto:Frank.Rodriguez@austintexas.gov)> wrote:

What are y'all planning so I can be aligned? FMR

---

**From:** Cisneros, Eduardo - OCIA [<mailto:Cisneros.Eduardo@dol.gov>]  
**Sent:** Thursday, November 05, 2015 4:24 PM  
**To:** Rodriguez, Frank  
**Cc:** Shack, Barbara  
**Subject:** U.S. Dept of Labor Secretary Perez to visit Austin

Frank,

I received your contact information from Barbara this afternoon as I was calling your office to make mention that Secretary Perez will be traveling to Austin later this month and will participate at an ACA Enrollment Event in the Greater Austin area. I know the Mayor is out of town on the date we're considering, but if your schedule allows, I would love to connect with you about the event and actually solicit your thoughts on our plans if possible. Would you be able to connect in the near future to discuss? Happy to make myself available to connect to discuss.

Thank you,  
Eduardo


Eduardo Cisneros  
U.S. Department of Labor  
Office of Intergovernmental Affairs  
202-693-4615  
[Cisneros.Eduardo@dol.gov](mailto:Cisneros.Eduardo@dol.gov)

**From:** Rodriguez, Frank  
**To:** [Isabel; sal@lhcf.org](mailto:Isabel_sal@lhcf.org); [Jill; Linda Smith; hector.lhcf.org](mailto:Jill_Linda_Smith@lhcf.org); [Chelsea Brass](mailto:Chelsea.Brass@lhcf.org)  
**Subject:** Fwd: U.S. Dept of Labor Secretary Perez to visit Austin  
**Date:** Tuesday, November 10, 2015 8:14:14 PM

---

This is turning into a big deal for the Mayor's office. Please let me know what you are planning as soon as possible. An agenda, itinerary, invite list, etc. would be helpful. I spoke to Jill last Friday about this and we agreed that Central Health should be invited to the event. Also, one item you should be thinking about is bringing up is training monies from DOL for CHWs. Thanks. FMR

--

Frank Rodriguez  
Senior Policy Advisor, Mayor's Office  
P.O. Box 1271  
Austin Texas 78767  


Begin forwarded message:

**From:** "Cisneros, Eduardo - OCIA" <[Cisneros.Eduardo@dol.gov](mailto:Cisneros.Eduardo@dol.gov)>  
**Date:** November 9, 2015 at 2:59:13 PM CST  
**To:** "[frank.rodriguez@austintexas.gov](mailto:frank.rodriguez@austintexas.gov)" <[frank.rodriguez@austintexas.gov](mailto:frank.rodriguez@austintexas.gov)>  
**Subject:** RE: U.S. Dept of Labor Secretary Perez to visit Austin

Hi Frank,

Hope you had a nice weekend, and thanks so much again for taking the time to connect with me last week. It sounds like we're going to proceed with an event with the Latino HealthCare Forum. Thanks so much for your thoughts and assistance to the group. Question, would you by chance be available to join a call with the point person for DOL for that event as well as our communications team? They'd like to discuss media outreach and may take you up on the offer for the PSA.

Are you by chance available for a conference call with our team on Friday, 11/13 in the mid-afternoon? Perhaps 2pm or 3pm EST?

Eduardo

Eduardo Cisneros  
U.S. Department of Labor  
Office of Intergovernmental Affairs  
202-693-4615  
[Cisneros.Eduardo@dol.gov](mailto:Cisneros.Eduardo@dol.gov)

---

**From:** Cisneros, Eduardo - OCIA  
**Sent:** Thursday, November 05, 2015 5:24 PM  
**To:** '[frank.rodriguez@austintexas.gov](mailto:frank.rodriguez@austintexas.gov)'  
**Cc:** '[Barbara.Shack@austintexas.gov](mailto:Barbara.Shack@austintexas.gov)'  
**Subject:** U.S. Dept of Labor Secretary Perez to visit Austin

Frank,

I received your contact information from Barbara this afternoon as I was calling your office to make mention that Secretary Perez will be traveling to Austin later this month and will participate at an ACA Enrollment Event in the Greater Austin area. I know the Mayor is out of town on the date we're considering, but if your schedule allows, I would love to connect with you about the event and actually solicit your thoughts on our plans if possible. Would you be able to connect in the near future to discuss? Happy to make myself available to connect to discuss.

Thank you,  
Eduardo

Eduardo Cisneros  
U.S. Department of Labor  
Office of Intergovernmental Affairs  
202-693-4615  
[Cisneros.Eduardo@dol.gov](mailto:Cisneros.Eduardo@dol.gov)


**From:** Rodriguez, Frank  
**To:** [Cisneros, Eduardo - OCIA](#)  
**Cc:** [Stanford, Jason](#)  
**Subject:** Re: U.S. Dept of Labor Secretary Perez to visit Austin  
**Date:** Tuesday, November 10, 2015 7:16:48 AM

---

Eduardo,

I've asked Jason Stanford, the Mayor's Communication chief to work with you on the Secretary's visit to Austin. The Latino HealthCare Forum has asked me to participate in the Secretary's health roundtable discussion and I will do so. I'm forwarding your email to Jason who can coordinate the call with you. Thanks. FMR

--

Frank Rodriguez  
Senior Policy Advisor, Mayor's Office  
P.O. Box 1271  
Austin Texas 78767  


On Nov 9, 2015, at 2:59 PM, Cisneros, Eduardo - OCIA <[Cisneros.Eduardo@dol.gov](mailto:Cisneros.Eduardo@dol.gov)> wrote:

Hi Frank,

Hope you had a nice weekend, and thanks so much again for taking the time to connect with me last week. It sounds like we're going to proceed with an event with the Latino HealthCare Forum. Thanks so much for your thoughts and assistance to the group.

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Eduardo

Eduardo Cisneros  
U.S. Department of Labor  
Office of Intergovernmental Affairs  
202-693-4615  
[Cisneros.Eduardo@dol.gov](mailto:Cisneros.Eduardo@dol.gov)

---

**From:** Cisneros, Eduardo - OCIA  
**Sent:** Thursday, November 05, 2015 5:24 PM  
**To:** '[frank.rodriguez@austintexas.gov](mailto:frank.rodriguez@austintexas.gov)'  
**Cc:** '[Barbara.Shack@austintexas.gov](mailto:Barbara.Shack@austintexas.gov)'

**Subject:** U.S. Dept of Labor Secretary Perez to visit Austin

Frank,

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Thank you,  
Eduardo

Eduardo Cisneros  
U.S. Department of Labor  
Office of Intergovernmental Affairs  
202-693-4615  
[Cisneros.Eduardo@dol.gov](mailto:Cisneros.Eduardo@dol.gov)



**From:** isabel latinohealthcareforum.org  
**To:** [Rodriguez, Frank](#)  
**Subject:** Re: Board nominations  
**Date:** Thursday, June 25, 2015 10:22:13 AM  
**Importance:** High

---

Frank, do you mind doing some e- introductions for the ACA coalition...We will meet Friday morning at Primero Health.

On June 24, 2015 at 6:12 PM "Rodriguez, Frank"  
<Frank.Rodriguez@austintexas.gov> wrote:

Congrats! You and Isabel are on the nominations list for Thursday's Council board meeting. FMR

--

**Frank Rodriguez**, Senior Policy Advisor | Office of Austin Mayor Steve Adler

Austin City Hall | 301 W. Willie Nelson Blvd | Austin TX 78701

512.978.2131 (office) | [REDACTED] (cell)

Email: [frank.rodriguez@austintexas.gov](mailto:frank.rodriguez@austintexas.gov)

*We want Austin to be the most livable and best-managed city in the country.*

Program Coordinator  
ACA-COA Secure Your Health  
Latino Healthcare Forum

"I can do things you cannot, you can do things I cannot; together we can do great things." -  
Mother Theresa

**From:** Rodriguez, Frank  
**To:** [Nick Rehnberg](#)  
**Cc:** [Drew Garst](#); [Chin Goh](#); [Jill](#); [sal.valdez](#); [linda@lhcf.org](#)  
**Subject:** Re: Central Health Strategic Planning  
**Date:** Thursday, October 15, 2015 5:26:53 PM

---

Hi Nick,

Good to hear from you. I've taken a leave of absence from LHCF to work with the Mayor's Office as a Senior Policy Advisor. I'm including Jill Ramirez and other relevant LHCF staff on this email and they can get with you on this. Thanks for thinking about the LHCF. FMR

--

Frank Rodriguez  
Senior Policy Advisor, Mayor's Office  
P.O. Box 1271  
Austin Texas 78767  
[REDACTED]

On Oct 15, 2015, at 12:48 PM, Nick Rehnberg <[REDACTED]> wrote:

Hi Frank !

Hope all is well with you. We're putting a team together to chase this. Would you be interested in the Community Engagement piece?

Thx

Nick

**Nicholas Rehnberg, AIA** | Principal | Mobile 303.589.7756

**BOULDER ASSOCIATES ARCHITECTS** | Design Leaders for Health & Aging  
1426 Pearl St., Suite 300 | Boulder, Colorado | 303.499.7795 | [www.boulderassociates.com](http://www.boulderassociates.com)

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<Central health Strategic Planning.pdf>

**From:** Anthony Haley  
**To:** [Rodriguez, Frank](#)  
**Subject:** Lunch/Baylor scott & white follow up  
**Date:** Friday, January 08, 2016 2:40:59 PM

---

Happy new year, Frank! Thanks for that excellent meeting with John-Michael and you. You all were very thoughtful, informative, and helpful.

You mentioned that you would connect Jay fox, the regional president for Baylor scott & white, with the Latino healthcare forum. I wanted to follow up on that and see if I might assist.

Most importantly, let's book lunch or a beer as soon as your schedule permits. I'd like to catch up with you since we no longer spend hours per week together on central health!

Anthony  


**From:** Rodriguez, Frank  
**To:** ["jill@latinohealthcareforum.org"](mailto:jill@latinohealthcareforum.org) ([jill@latinohealthcareforum.org](mailto:jill@latinohealthcareforum.org))  
**Subject:** FW: Following up  
**Date:** Friday, January 22, 2016 11:19:00 AM  
**Attachments:** [image001.png](#)

---

FYI

---

**From:** Rodriguez, Frank  
**Sent:** Friday, January 22, 2016 11:19 AM  
**To:** 'Anthony Haley'  
**Subject:** Following up

Anthony,

Great catching you. Also thanks for introducing Jay fox, the regional president for Baylor Scott & White, to the Mayor. You asked about referring you and Jay to community resources. Here are several:

- Sendero Health – Wes Durkalski, CEO – mobile phone is [REDACTED]
- Latino HealthCare Forum – Jill Ramirez, CEO – mobile phone is [REDACTED]

I'll let both know to expect a call from you. Thanks. FMR

--

**Frank Rodriguez**, Senior Policy Advisor | Office of Austin Mayor Steve Adler  
Austin City Hall | 301 W. Willie Nelson Blvd | Austin TX 78701  
512.978.2131 (office) | [REDACTED] (cell)  
Email: [frank.rodriquez@austintexas.gov](mailto:frank.rodriquez@austintexas.gov)

*We want Austin to be the most livable and best-managed city in the country.*



**From:** Rodriguez, Frank  
**To:** [jill@lhcf.org](mailto:jill@lhcf.org); [Sal Val](#); [Linda Smith](#)  
**Subject:** Fwd: Health Insurance Marketplace Center  
**Date:** Wednesday, November 09, 2016 5:39:19 AM

---

FYI

--

Frank Rodriguez  
Senior Policy Advisor, Mayor's Office  
P.O. Box 1271  
Austin Texas 78767  
[REDACTED]

Begin forwarded message:

**From:** Andrew Knight <[apache@austintexas.gov](mailto:apache@austintexas.gov)>  
**Date:** November 7, 2016 at 2:50:24 PM CST  
**To:** <[frank.rodriquez@austintexas.gov](mailto:frank.rodriquez@austintexas.gov)>  
**Cc:** [REDACTED]  
**Subject:** Health Insurance Marketplace Center  
**Reply-To:** [REDACTED]

This message is from Andrew Knight. [REDACTED]

Hello,

My name is Andrew Knight. I am an In-Person Assister at the Austin Enrollment Assistance Center with SRA. We are a federal contractor with the Centers for Medicare & Medicaid Services working to provide in-person assistance to our community. Our local, trained and federally certified In-Person Assisters provide people in our community with free and unbiased assistance to educate and enroll individuals and families in qualified health plans through the Health Insurance Marketplace, [Healthcare.gov](http://Healthcare.gov)

Our Enrollment Assistance Center is located at 8120 Research Blvd suite 110, Austin, TX 78758 and we will be operating from November 1, 2016 to January 31, 2017.

I was hoping that we could speak with you about more what we have accomplished over the past three years and how we can work collaboratively to successfully provide education and affordable healthcare.

Thank you so much for taking the time to read my email. I hope that I will hear from you soon, and that we can work together to build a stronger community.

Thank You again,



Andrew Knight  
8120 Research Blvd Ste 110  
Austin, TX 78758  
901-314-5056

**From:** Rodriguez, Frank  
**To:** [Richard Yuen](#)  
**Subject:** Re: Meeting with Dr. Yuen  
**Date:** Thursday, January 12, 2017 10:28:28 AM

---

Richard,

Looking forward to meeting and collaborating. I'd like to keep my participation/meeting separate from the community folks at the LHCF. Even though we are all community health advocates we have differences in policy approaches. So, we should plan to meet separately. I'll send you some times/dates that might work for you. Thanks.

--

Frank Rodriguez  
Senior Policy Advisor, Mayor's Office  
P.O. Box 1088  
Austin Texas 78768  
[REDACTED]

On Jan 12, 2017, at 10:23 AM, Richard Yuen [REDACTED] > wrote:

Frank,

Please see below.

----- Forwarded message -----

From: Richard Yuen [REDACTED] >  
Date: Mon, Jan 9, 2017 at 1:41 PM  
Subject: Meeting with Dr. Yuen  
To: <[isabel@lhcf.org](mailto:isabel@lhcf.org)>, <[jill@latinohealthcareforum.org](mailto:jill@latinohealthcareforum.org)>, <[frank@latinohealthcareforum.org](mailto:frank@latinohealthcareforum.org)>

Frank, Isabel and Jill,

It was good seeing y'all briefly at the Inauguration Event this past week. I know we all expressed meeting with each other, so I am taking initiative to schedule a date for this soon. I am typically available most any time on Fridays and weekends to meet.

Also, I know Isabel and Jill have expressed a desire to have Central Health Board Members ride along with them to see various parts of Travis County. Maybe we can schedule this ride for the same time?

Here are some tentative dates I am free:

Friday, Jan. 13th  
Saturday, Jan.21st  
Sunday, Jan.22nd  
Friday, Jan.27th

Saturday, Jan.28th  
Sunday, Jan.29th

I look forward to hearing back from y'all soon. Keep warm out there.

Regards,  
Dr. Yuen

Dr. Richard K. Yuen, Ph.D.  
Licensed Psychologist  
Diplomate & Fellow, American Psychotherapy Association  
Teacher Affiliate and Member, American Psychological Association  
Lonestar Psychological Services, PLLC  
[www.lonestarpsych.com](http://www.lonestarpsych.com)

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**From:** Rodriguez, Frank  
**To:** [chelsea@LHCF.org](mailto:chelsea@LHCF.org); [jill@latinohealthcareforum.org](mailto:jill@latinohealthcareforum.org)  
**Subject:** SIRE Public Access  
**Date:** Monday, June 01, 2015 10:03:00 AM

---

COA HHS meeting agenda this afternoon. FMR


<https://austin.siretechnologies.com/sirepub/mtgviewer.aspx?meetid=839&doctype=Agenda>

**From:** Rodriguez, Frank  
**To:** [Frank Rodriguez](#)  
**Bcc:** [Linda Smith](#); [Jill Ramirez](#); [Maria Rlos](#); [Cynthia Valadez](#); [Lynne hudson](#); [Wes D: <sal@lhcf.org>](#)  
**Subject:** Budget review process  
**Date:** Wednesday, July 29, 2015 6:41:08 AM

---

FYI. The Mayor has proposed a significant new review process in reviewing the budget. FMR

<http://austincouncilforum.org/viewtopic.php?f=2&t=293>

Frank Rodriguez  
P.O. Box 1271  
Austin Texas 78767  


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**From:** Rodriguez, Frank  
**To:** [chelsea.lhcf.org](mailto:chelsea.lhcf.org)  
**Cc:** [jill@latinohealthcareforum.org](mailto:jill@latinohealthcareforum.org)  
**Subject:** FYI -- Equity Assessment Tool  
**Date:** Wednesday, July 29, 2015 3:05:00 PM  
**Attachments:** [2015 Memo MayorCouncil HHSD CIUR 1604 Equity Assessment.pdf](#)  
[image001.png](#)

---

Attached is a memo related to Equity Assessment tool to be discussed at Council HHS Committee. I haven't seen anything on the agenda for LHCF. I think it best that you go the route that Isabel suggested. Also, you will have the opportunity to present the proposal to the Mayor at the Rundberg tour. FMR

--

**Frank Rodriguez**, Senior Policy Advisor | Office of Austin Mayor Steve Adler  
Austin City Hall | 301 W. Willie Nelson Blvd | Austin TX 78701  
512.978.2131 (office) | [REDACTED] (cell)  
Email: [frank.rodriguez@austintexas.gov](mailto:frank.rodriguez@austintexas.gov)

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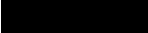
**From:** Rodriguez, Frank  
**To:** [sal@latinohealthcareforum.org](mailto:sal@latinohealthcareforum.org); [Linda Smith](#); [Chelsea Brass](#); [Jill](#); [Isabel](#)  
**Subject:** FY 2016 HHS Contingency Staffing Plan | HHS.gov  
**Date:** Monday, September 28, 2015 11:23:50 AM

---

Looks like ACA will continue if there is a govt shutdown. FMR

<http://www.hhs.gov/about/budget/fy-2016-hhs-contingency-staffing-plan/index.html>

--

Frank Rodriguez  
Senior Policy Advisor, Mayor's Office  
P.O. Box 1271  
Austin Texas 78767  


**From:** Rodriguez, Frank  
**To:** [Linda Smith](#)  
**Date:** Wednesday, November 04, 2015 2:12:00 PM  
**Attachments:** [109625811042015021119155.PDF](#)

---

Agenda item

# AGENDA



## Recommendation for Council Action

Austin City Council	Item ID	51661	Agenda Number	16.
Meeting Date:	11/12/2015	Department:	Health and Human Services	

### Subject

Approve negotiation and execution of an amendment to the contract with Latino Healthcare Forum for insurance enrollment educational outreach and navigation services of the Affordable Care Act Health Insurance Marketplace, to add funding to the contract in an amount not to exceed \$142,000, for the period of October 1, 2015 through September 30, 2016, and add three 12-month renewal options, in an amount not to exceed \$200,000 per renewal option, for a total contract amount not to exceed \$800,000.

### Amount and Source of Funding

Funding in the amount of \$142,000 is included in the Fiscal Year 2015-2016 Operating Budget of the Health and Human Services Department. Funding for the renewal options is contingent upon the availability of funding in future budgets.

### Fiscal Note

A fiscal note is not required.

Purchasing Language:	
Prior Council Action:	On September 8, 2015, Council approved Ordinance No. 20150908-001 adopting the Fiscal Year 2015-2016 Operating Budget.
For More Information:	Stephanie Hayden, Deputy Director, 972-5017; Robert Kingham, Health and Human Services Manager, 972-5026; Elena Shemilina, Agenda Coordinator, 972-5033.
Council Committee, Boards and Commission Action:	
MBE / WBE:	
Related Items:	

### Additional Backup Information

More than 6.3 million Texans, including 1.2 million children, lack health insurance. Uninsured rates in Texas are 1.5 to 2 times greater than the national average, which creates significant problems in the financing and delivery of health care to all Texans. Racial and ethnic minorities are significantly less likely to have health insurance. In Texas, 39% of Hispanics/Latinos, 22% of African Americans, and 20% of other races are uninsured. In Travis County, it is estimated that over 200,000 individuals do not have health insurance.


The Patient Protection and Affordable Care Act of 2010 (ACA) was signed into law on March 23, 2010 to reform health care in America. The ACA includes reforms to the affordability, quality, and availability of health insurance, along with new cost cutting measures, rules, and regulations for both public and private health insurance companies, and the health care industry. The ACA aims to increase the number of Americans with access to affordable health insurance. This is done, in part, by providing tax credits to certain individuals and opening competitive, regulated, online health insurance exchanges, or marketplaces, which enable individuals to buy insurance and receive cost-assistance.

**From:** Rodriguez, Frank  
**To:** [Jill Ramirez](#); [Cynthia Valadez](#); [Maria Rios](#); [Linda Smith](#)  
**Subject:** Fwd: Memo to Mayor and Council regarding Equity Officer Recruitment Update  
**Date:** Friday, June 17, 2016 10:19:38 AM  
**Attachments:** [MEMO Equity Office & Chief Equity Office Recruitment Update.pdf](#)  
[ATT00001.htm](#)

---

FYI

--

Frank Rodriguez  
Senior Policy Advisor, Mayor's Office  
P.O. Box 1271  
Austin Texas 78767  


Begin forwarded message:

**From:** City of Austin Communications <[coacommunications@austintexas.gov](mailto:coacommunications@austintexas.gov)>  
**Date:** June 16, 2016 at 5:26:13 PM CDT  
**To:** Official Distribution DL <[OfficialDistributionDL@austintexas.gov](mailto:OfficialDistributionDL@austintexas.gov)>  
**Subject:** Memo to Mayor and Council regarding Equity Officer Recruitment Update





## MEMORANDUM

**TO:** Mayor and Council

**FROM:** Mark Washington, Interim Assistant City Manager  
Ray Baray, Chief of Staff

**DATE:** June 16, 2016

**SUBJECT:** Equity Office & Chief Equity Officer Recruitment Update

---

The purpose of this memo is to provide you with an update on staff's progress with the creation of the Equity Office, in addition to the recruitment of the Chief Equity Officer for the City of Austin.

### **Creation of the Equity Office**

On May 25<sup>th</sup> and May 26<sup>th</sup>, 2016 staff conducted a pair of town hall meetings to engage the community on what they envisioned for the new Equity Office. One meeting was held at the Asian American Resource Center and the other at the Dove Springs Recreation Center. Overall, more than 135 members of the public participated across two meetings. Aside from providing input in person, the public also provided input by emailing the Equity Office resource account, by calling 3-1-1, and in person by submitting written suggestions to the Equity Office Comment Box located on the 3rd Floor lobby of City Hall. The public feedback process ended on June 3, 2016, which coincided with the application deadline for the Chief Equity Officer recruitment. An assessment of the City's internal equity practices is currently being conducted by the Government Alliance for Race & Equity (GARE) and should be completed in July.

### **Chief Equity Officer Recruitment**

The application deadline for the Chief Equity Officer ended June 3, 2016. The Hawkins Company, the executive recruitment firm leading the search process, is in the process of screening and evaluating applications. Staff anticipates the interview process for these finalists, along with the town hall meetings for the public to provide feedback on the top candidates, could take place as early as late June or early July.

Should you have any questions or need additional information, please do not hesitate to contact us. Thanks!

cc: Marc A. Ott, City Manager  
Assistant City Managers  
Department Directors

Subject	Jill Ramirez (Chair, H/L QoLife Commission)			
Location	Sawyers			
Start time	Fri 5/1/2015	5:30 PM	<input type="checkbox"/> All day event	
End time	Fri 5/1/2015	6:30 PM		

Subject	Wes Durkalski, CEO Sendero Health Plans			
Location	Wyndam			
Start time	Fri 5/1/2015	8:00 AM	<input type="checkbox"/> All day event	
End time	Fri 5/1/2015	9:00 AM		

Subject	Hector Torres re: Health Technology			
Location	Outside (TBD)			
Start time	Thu 5/14/2015	11:00 AM	<input type="checkbox"/> All day event	
End time	Thu 5/14/2015	1:00 PM		

Subject	Wes Durkaski, CEO Sendero Health Plan			
Location	Wyndam Hotel			
Start time	Tue 6/2/2015	8:00 AM	<input type="checkbox"/> All day event	
End time	Tue 6/2/2015	9:00 AM		

Subject	Beto Lopez, Dell Medical School & Hector Torres, LHCF			
Location	2005			
Start time	Thu 6/4/2015	3:30 PM	<input type="checkbox"/> All day event	
End time	Thu 6/4/2015	4:30 PM		

Subject	Jill Ramirez, Chair, Hispanic Quality of Life			
Location	Carras Rest.			
Start time	Mon 6/22/2015	4:00 PM	<input type="checkbox"/> All day event	
End time	Mon 6/22/2015	5:00 PM		

Subject: Wes Durakski, Sendero Health Plan

Location:

Start time: Fri 7/10/2015 8:00 AM ☐ All day event

End time: Fri 7/10/2015 9:30 AM

Subject: Hector Torres, Digital Health

Location: Jo's Coffee Shop

Start time: Tue 7/28/2015 9:00 AM ☐ All day event

End time: Tue 7/28/2015 10:00 AM

Subject: Wes Durkalski, Sendero Health Plan

Location:

Start time: Tue 8/4/2015 5:00 PM ☐ All day event

End time: Tue 8/4/2015 6:30 PM

Subject: Hector Torres, Minority Social Entrepreneur

Location:

Start time: Tue 8/4/2015 8:00 AM ☐ All day event

End time: Tue 8/4/2015 9:00 AM

Subject: Hector Torres, Health Technology

Location:

Start time: Tue 8/25/2015 8:30 AM ☐ All day event

End time: Tue 8/25/2015 9:00 AM

☒ Accept
 ☐ Tentative
 ☒ Decline
 ☐ Propose New Time
 ☐ Calendar...



Tue 8/25/2015 1:27 PM

Hector Torres <hector@lhcf.org>

**TeamViewer meeting: cultivateHealth agenda planning mtg**

**Required**

Joshua Rosenthal; Rodriguez, Frank; Lopez, Beto

**i** We couldn't find this meeting in the calendar. It may have been moved or deleted.

**When** Thursday, August 27, 2015 8:30 AM-9:30 AM **Location** TeamViewer online

✓ Accept ▾ ? Tentative ▾ ✕ Decline ▾ 📅 Propose New Time ▾ 📅 Calendar...



Wed 9/16/2015 8:53 AM

Yael Alkalay/Haifa/IBM <[REDACTED]>

FW: --To Be Rescheduled-- Ideation Workshop LHCF, IBM Mobile Innovation Lab, 1-5pm

Required

[REDACTED] Rodriguez, Frank

❗ We couldn't find this meeting in the calendar. It may have been moved or deleted.

When: Friday, September 18, 2015 1:00 PM-5:00 PM

Location: 05-58006/001/11501 Burnet Rd/TX-Austin@IBMUS

Subject: LHCF Open house

Location:

Start time: Fri 9/18/2015 11:30 AM ☐ All day event

End time: Fri 9/18/2015 1:00 PM

Steps:

✕

Move

Tags

Find

Adobe Send & Track

Subject: Hector Torres

Location:

Start time: Tue 9/29/2015 8:30 AM ☐ All day event

End time: Tue 9/29/2015 9:30 AM

❗ Accepted on 10/5/2015 9:19 AM.

Organizer: Hector Torres <hector@labinohhealthcareforum.org>

Sent: Wed 9/30/2015 9:35 PM

Subject: Invitation: lunch Hector, Frank, Ray @ Tue Oct 6, 2015 11:30am - 12:30pm (hector@labinohhealthcareforum.org)

Location: Annie's Café & Bar, 319 Congress Ave, Austin, TX 78701, United States

Start time: Tue 10/6/2015 11:30 AM ☐ All day event

End time: Tue 10/6/2015 12:30 PM

[more details »](#)

**lunch Hector, Frank, Ray**

Agenda:

- LHCF, St David's Med Center collaboration
- St David's IRB, grants
- Easter Seals opportunities
- City of Austin road map

Subject: Hector Torres

Location: m-health

Start time: Tue 10/6/2015 8:30 AM ☐ All day event

End time: Tue 10/6/2015 9:30 AM

Accepted by Shack, Barbara on 10/7/2015 11:38 AM.

Organizer Shack, Barbara

Sent Tue 10/6/2015 4:27 PM

Subject FYI Cultivate Health

Location Mayor's Balcony

Start time Fri 10/16/2015 6:00 PM ☐ All day event

End time Fri 10/16/2015 7:00 PM

Initiated by: Hector Torres, Chief Technology Officer, Latino Healthcare Forum 512.386.7777 855.373.5423

Contact: Frank Rodriguez

Speaking: no - unless you want to and are available. We advised him you would try to be there but it is a busy night

Topic:

ck Steps	Move	Tags	Find	Adobe Send & Track
Subject	Wes Durkaski Sendero Health Plans			
Location	Jo's Coffee Shop			
Start time	Tue 10/13/2015	7:30 AM	<input type="checkbox"/> All day event	
End time	Tue 10/13/2015	8:30 AM		

Steps	Move	Tags	Find	Adobe Send & Track
Subject	Wes Durkaski Sendero CEO			
Location				
Start time	Fri 11/6/2015	8:00 AM	<input type="checkbox"/> All day event	
End time	Fri 11/6/2015	9:00 AM		

Steps	Move	Tags	Find	Adobe Send & Track
Subject	Hector Torres Health Technology			
Location				
Start time	Mon 11/16/2015	12:30 PM	<input type="checkbox"/> All day event	
End time	Mon 11/16/2015	1:30 PM		

Steps	Move	Tags	Find	Adobe Send & Track
Subject	Jill Ramirez H/L QoL Commission			
Location				
Start time	Tue 11/17/2015	12:30 PM	<input type="checkbox"/> All day event	
End time	Tue 11/17/2015	1:30 PM		



Steps	Move	Tags	Find	Adobe Send & Track
Subject: LHCF Thanksgiving reception				
Location: <div></div>				
Start time	Mon 11/23/2015	4:00 PM	<input type="checkbox"/> All day event	
End time	Mon 11/23/2015	5:00 PM		

Steps	Move	Tags	Find	Adobe Send & Track
Subject: LHCF Holiday Party				
Location: <div></div>				
Start time	Fri 12/11/2015	6:00 PM	<input type="checkbox"/> All day event	
End time	Fri 12/11/2015	9:00 PM		

Subject	Hector Torres, Health Technology			
Location	<div></div>			
Start time	Mon 12/7/2015	4:00 PM	<input type="checkbox"/> All day event	
End time	Mon 12/7/2015	5:30 PM		

Steps	Move	Tags	Find	Adobe Send & Track
Subject: Wes Durkaski, Sendero CEO				
Location: Outside the office				
Start time	Wed 12/9/2015	5:00 PM	<input type="checkbox"/> All day event	
End time	Wed 12/9/2015	6:00 PM		

Subject	Sal Valdez			
Location	Lunch meeting TBD			
Start time	Fri 4/1/2016	12:30 PM	<input type="checkbox"/> All day event	
End time	Fri 4/1/2016	1:30 PM		

Steps	Move	Tags	Find	Adobe Send & Track
Subject: Hector Torres (health technology)				
Location: Jos				
Start time	Tue 4/5/2016	8:00 AM	<input type="checkbox"/> All day event	
End time	Tue 4/5/2016	9:00 AM		

Steps	Move	Tags	Find	Adobe Send & Track
Subject	Health Literacy			
Location	LHCF office			
Start time	Thu 4/7/2016	11:30 AM	<input type="checkbox"/> All day event	
End time	Thu 4/7/2016	1:00 PM		

Subject	Jill Ramirez and Cynthia Valadez			
Location	Sawyers			
Start time	Fri 7/8/2016	4:00 PM	<input type="checkbox"/> All day event	
End time	Fri 7/8/2016	6:00 PM		

Subject	Wes from Sendero			
Location				
Start time	Wed 11/2/2016	8:00 AM	<input type="checkbox"/> All day event	
End time	Wed 11/2/2016	9:00 AM		

Subject	Sylvia Orozco and Jill Ramirez			
Location				
Start time	Tue 6/13/2017	11:30 AM	<input type="checkbox"/> All day event	
End time	Tue 6/13/2017	1:00 PM		

Subject	Hector Torres			
Location				
Start time	Fri 9/22/2017	8:00 AM	<input type="checkbox"/> All day event	
End time	Fri 9/22/2017	9:00 AM		

**From:** Frank Rodriguez  
**To:** [Rodriguez, Frank](#)  
**Subject:** Fwd: Health Strategy Map  
**Date:** Tuesday, May 05, 2015 8:49:49 AM  
**Attachments:** [healthy strategy map\(1\).pdf](#)

---

----- Forwarded message -----

**From:** **Hector Torres** <[hector@lhcf.org](mailto:hector@lhcf.org)>  
**Date:** Tue, May 5, 2015 at 12:03 AM  
**Subject:** RE: Health Strategy Map  
**To:** Frank Rodriguez <[\[REDACTED\]](#)>

See attached; hopefully it's not too busy but it should have all the major points

~~~~~

Hector Torres

Chief Technology Officer

Latino HealthCare Forum

6601 Felix Ave

Austin, Texas 78741

[512.386.7777](tel:512.386.7777) – local office

[855.373.5423](tel:855.373.5423) – virtual office

[\[REDACTED\]](#) mobile

<http://www.lhcf.org>

<mailto:hector@lhcf.org>

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---

**From:** Frank Rodriguez [mailto:[REDACTED]]  
**Sent:** Thursday, April 30, 2015 5:05 PM  
**To:** Chelsea B.; Linda Smith; Jill Ramirez; Sal Valdez; <[hector@lhcf.org](mailto:hector@lhcf.org)>;  
[jen@latinohealthcareforum.org](mailto:jen@latinohealthcareforum.org); isabel [latinohealthcareforum.org](mailto:latinohealthcareforum.org)  
**Subject:** Health Strategy Map

This captures my thoughts on strategy to emphasize three things: (1) Place based population health; (2) Health and HealthCare integration; and (3) Collaborations. This is still in development and subject to change. I would also like Jen's help in putting it more into a graphic format still on one page for the IBM meeting. Let me know if this is possible. The information is confidential. Thanks. FMR

Frank Rodriguez

P.O. Box 1271

Austin Texas 78767

[REDACTED]

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Begin forwarded message:

**From:** "Rodriguez, Frank" <[Frank.Rodriguez@austintexas.gov](mailto:Frank.Rodriguez@austintexas.gov)>  
**Date:** April 30, 2015 at 4:56:13 PM CDT  
**To:** Frank Rodriguez <[REDACTED]>

--

Frank M. Rodriguez  
P.O. Box 1271  
Austin, Texas 78767  
c [REDACTED]

**From:** Hector Torres  
**To:** ["Lopez, Beto"](#)  
**Cc:** [Rodriguez, Frank](#)  
**Subject:** RE: Hackathon mtg  
**Date:** Friday, June 05, 2015 3:22:44 PM

---

Otra ves, gracias, te lo agradezco.

I'll shoot you the invite and keep you in the loop. Again, if you can make it great, if not just join us when you can. Quick verbal, nothing fancy is perfect, we will be informal.

Hasta pronto,  
Hector

~~~~~

Hector Torres  
Chief Technology Officer  
Latino HealthCare Forum  
6601 Felix Ave  
Austin, Texas 78741  
512.386.7777 - local office  
855.373.5423 - virtual office  
[REDACTED] mobile

<http://www.lhcf.org>  
<mailto:hector@lhcf.org>

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-----Original Message-----

From: Lopez, Beto [<mailto:beto.lopez@austin.utexas.edu>]  
Sent: Friday, June 5, 2015 1:06 PM  
To: hector@lhcf.org  
Cc: 'Rodriguez, Frank'  
Subject: Re: Hackathon mtg

De nada. Fue un gusto.

I look forward to helping y'all and hope to find ways to collaborate with both of you, especially where there are opportunities to cultivate a more vibrant culture of social innovators.

I'll try my best to make the kickoff. 2PM this coming Monday. I can give a quick verbal introduction ... nothing fancy to let y'all get to business.

Send me invites to your meetings, I'll do my best to make it to the ones I can.



Nos vemos pronto,

Beto + Mobile

---

From: Hector Torres <hector@lhcf.org>  
Sent: Friday, June 5, 2015 11:51:19 AM  
To: Lopez, Beto  
Cc: 'Rodriguez, Frank'  
Subject: Hackathon mtg

Beto:

Thank you again for your time yesterday, we covered a lot with respect to the Hackathon and the community in general. Your input and feedback was invaluable and we appreciate it!

Our team will have an informal kick-off meeting Monday, June 8th at Capital Factory 2pm. You are welcome to attend (brief is bueno as I'm sure you're busy) to share your thoughts in summary for our team's benefit. Again, I know you are busy so if you cannot attend we'll catch you at the next one; we'll be meeting very frequently.

On another note, please let me know how best to include you as we develop the agenda and content (do you want me to include you on all meeting invites or select invites, me avisas). I have some homework to do and we'll share updates with you as we flush things out.

Lastly, I would like to keep the lines of communication open with you and the Latino HealthCare Forum (LHCF) as we develop a relationship with you and others at UT.

Thank you Frank for hosting our meeting.

I look forward to our continued dialogue and conversations on the Hackathon and all things LHCF.

Muchisimas gracias!,  
Hector

~~~~~  
Hector Torres  
Chief Technology Officer  
Latino HealthCare Forum  
6601 Felix Ave  
Austin, Texas 78741  
512.386.7777 - local office  
855.373.5423 - virtual office  
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<http://www.lhcf.org><<http://www.lhcf.org>>  
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**From:** Hector Torres  
**To:** [Rodriguez, Frank](#)  
**Subject:** RE: Tech Gap Study  
**Date:** Wednesday, June 17, 2015 3:11:52 PM

---

Dang! That's a lot of stuff...but once first glance I have a couple of ideas to share with you.

Let me know when you want to put something on the calendario

~~~~~

Hector Torres  
Chief Technology Officer  
Latino HealthCare Forum  
6601 Felix Ave  
Austin, Texas 78741  
512.386.7777 – local office  
855.373.5423 – virtual office  
[REDACTED] – mobile

<http://www.lhcf.org>  
<mailto:hector@lhcf.org>

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---

**From:** Rodriguez, Frank [<mailto:Frank.Rodriguez@austintexas.gov>]  
**Sent:** Wednesday, June 17, 2015 11:55 AM  
**To:** [hector@lhcf.org](mailto:hector@lhcf.org)  
**Subject:** FW: Tech Gap Study

Please review and lets discuss. Thanks. FMR

---

**From:** Bialick, Catie  
**Sent:** Wednesday, June 17, 2015 11:02 AM  
**To:** Rodriguez, Frank  
**Subject:** Tech Gap Study

Below are links to preliminary findings and the tech gap study that was released on May 29<sup>th</sup>.

Catie Bialick

Quantifying the Tech Gap (Civic Analytics Blog Post): <http://civicanalytics.com/quantifying-a-tech-talent-gap/>

ATC Shares Preliminary Findings of Tech Talent Study: <http://austintechnologycouncil.org/atc-shares-preliminary-findings-of-tech-talent-study/>

Austin Technology Council Tech Talent Study: An Assessment of the Workforce Pipeline in Austin's Technology Sector <http://austintechnologycouncil.org/wp-content/uploads/2015/05/Workforce-Gap-Survey-Final.pdf>

**From:** Hector Torres  
**To:** [Rodriguez, Frank](#)  
**Subject:** RE: Blog Posting - "Austin 311" Smartphone App Could Protect Neighborhoods  
**Date:** Friday, June 19, 2015 10:33:06 AM

---

Yep, this is pretty cool; this is one of the things I'm trying to do from the mHealth perspective. After today's lunch with Mayra we'll have at least one story crafted to give developers a direction for one or multiple apps.

I've reached out to IBM about next week's meeting, it will more likely be on Wednesday at IBM.

HT

~~~~~  
Hector Torres  
Chief Technology Officer  
Latino HealthCare Forum  
6601 Felix Ave  
Austin, Texas 78741  
512.386.7777 - local office  
855.373.5423 - virtual office  
[REDACTED] mobile

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-----Original Message-----

From: Rodriguez, Frank [<mailto:Frank.Rodriguez@austintexas.gov>]  
Sent: Friday, June 19, 2015 10:10 AM  
To: hector@lhcf.org  
Subject: FW: Blog Posting - "Austin 311" Smartphone App Could Protect Neighborhoods

Ck out this city app noted on citizen blog. FMR

-----Original Message-----

From: Bill Oakey [[mailto:\[REDACTED\]](mailto:[REDACTED])]  
Sent: Friday, June 19, 2015 7:27 AM  
To: Tovo, Kathie; Kitchen, Ann; Pool, Leslie; Houston, Ora; Adler, Steve; Garza, Delia; Zimmerman, Don; Troxclair, Ellen; Gallo, Sheri; Casar, Gregorio; Renteria, Sabino  
Cc: Halley, Shannon; Harden, Joi; Craig, ken; Smith, Amy; Cardenas, Nancy; Rodriguez, Frank; Searle, Michael; Robinson, Kelan; Rodriguez, Genoveva; Cannon, Tina; Alexander, Shelby; Nicely, Katherine  
Subject: Blog Posting - "Austin 311" Smartphone App Could Protect Neighborhoods

Hello and Good Morning,

Imagine the City's 311 phone app on steroids! Welcome to public engagement in the 21st Century...

<http://austinaffordability.com/2015/06/18/the-austin-311-smartphone-app-could-we-harness-it-to-protect-our-neighborhoods/>

-----  
Follow the blog that is shaking up Austin and helping the taxpayers!

<http://austinaffordability.com>



**From:** Hector Torres  
**To:** [REDACTED]  
**Cc:** [Rodriguez, Frank](#)  
**Subject:** LHCF - IBM Healthcare Hackathon; Economic Development Initiatives  
**Date:** Tuesday, July 28, 2015 10:29:13 AM  
**Attachments:** [LHCF IBM Hackathon.pdf](#)

---

Mehron:

I hope all is well and you're not too busy. I am reaching out about the attached information that covers an upcoming Hackathon that we will co-host at IBM, Saturday and Sunday, Oct., 17<sup>th</sup> and 18<sup>th</sup>.

Frank, who is now working at the Mayor's office, and I would like to meet with you to discuss inviting you and members of Cielo Private Equity Fund to participate. Additionally, we would like to discuss economic development ideas with you and your team.

I look forward to hearing from you.

Kindest regards,  
Hector

**Hector Torres**

Chief Technology Officer  
Latino HealthCare Forum  
512.386.7777  
855.373.5423  
<http://www.lhcf.org>

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**From:** Rodriguez, Frank  
**To:** [Bryan "Buzz" White](#)  
**Cc:** [Hector Torres](#)  
**Subject:** RE: myBlueHub in Austin  
**Date:** Tuesday, August 04, 2015 4:10:00 PM

---

Buzz,

Thanks for reaching out. Yes, we have much to discuss. I have a standing meeting at 8:45 am every Tuesday with Hector. You're welcome to join us at the next meeting. Otherwise, it'll be a couple of weeks out before I have anytime. Let me know. Thanks. FMR

---

**From:** Bryan "Buzz" White [mailto: [REDACTED]]  
**Sent:** Tuesday, August 04, 2015 2:12 PM  
**To:** Rodriguez, Frank  
**Cc:** Hector Torres  
**Subject:** myBlueHub in Austin

Hi Frank,

I'm resending to your new email address (wasn't in my contacts book yet).

I hope you are well. I wanted to touch base and see if we can meet for breakfast or a coffee in the coming days/weeks.

We been focusing on our Austin strategy and serving as many patients in our home town as possible. It has been such an honor to work with Hector on the Hackathon and ideas for LHCF. This is exactly why I moved to Austin and to be able to live this mission is special for me and the BlueHub Health Team.

I get asked all the time, "how are y'all different than vitaTrackr?" We're going to start a big campaign with industry folks here in Austin about this specific question. I think the biggest difference is that we are actually live and serving patients now. I'd love to start with you and get your thoughts. Our companies are different, we don't rely on vitaTrackr to impact our community, but they will certainly help us. We are how patients interact with their data, vitaTrackr is more of a data network to sell PHI to different buyers/organizations.

I had the chance to speak at an event that the Mayor attended, the Enable Impact [dinner on June 15th](#). He spoke of impact investing and the social good community in Austin... I was absolutely thrilled and would love to build on this as we are one of those organizations about which he spoke!

We're part of UnLtd USA, the social impact accelerator based here in Austin. They mentioned it might be a great fit for Impoder (spelling?). I think this is a great opportunity; they are opening up applications for Cohort 3 very soon. This too would be a good topic of conversation.

Best Regards,  
Buzz

--

Bryan "Buzz" White  
Founder, CEO

**From:** Hector Torres  
**To:** [REDACTED]  
**Cc:** Rodriguez, Frank; "Lopez, Beto"  
**Subject:** cultivateHealth agenda  
**Date:** Sunday, August 23, 2015 8:16:52 AM

---

Josh:

Great talking with you last week. I've copied Frank (former LHCF CEO, now at the Mayor's office) and Beto Lopez, Managing Director, Design Institute for Health, on this email to work through the hackathon agenda and follow up on my discussions with you and Frank.

Frank and I thought having the panel set for Saturday, Oct., 17<sup>th</sup> from 12:30pm – 1:30pm would be best. Let's schedule some time, together to talk through this panel so we all understand individually what everyone will commit to relative to subject matter, talking points, etc.

In the meantime, please email me (copy Frank and Beto) the PowerPoint you used as part of your presentation at SXSW or a web link on where Frank and Beto can review that content.

Again, let's see if we can coordinate our calendars for this week or the following week for a conference/web call to go over that presentation and other content.

Many thanks!,  
Hector

**Hector Torres**

Chief Technology Officer  
Latino HealthCare Forum  
512.386.7777  
855.373.5423  
<http://www.lhcf.org>

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**From:** Hector Torres  
**To:** ["Frank Rodriguez"; Rodriguez, Frank](#)  
**Subject:** health tech conference  
**Date:** Wednesday, September 16, 2015 9:03:56 AM

---

You should attend with me:

<http://www.meetup.com/Austin-Health-Tech/events/225394324/?fromEmail=225394324&rv=ea1>

**Hector Torres**

Chief Technology Officer

Latino HealthCare Forum

512.386.7777

855.373.5423

<http://www.lhcf.org>

<http://cultivatehealth.chctx.org>

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**From:** Hector Torres  
**To:** [REDACTED]  
**Cc:** [Rodriguez, Frank](#)  
**Subject:** Thursday 11:30 mtg  
**Date:** Tuesday, September 22, 2015 1:55:02 PM

---

Ray:

Thanks again for all that you have facilitated thus far. Had coffee with Frank this morning and wanted to see if you wouldn't mind meeting us at City Hall.

Let me know if you can do that, if not, Frank and I will meet with you at your office. When I get your reply I'll change the calendar invite if necessary and resubmit to you both for confirmation.

Many thanks,  
Hector

**Hector Torres**

Chief Technology Officer  
Latino HealthCare Forum  
512.386.7777  
855.373.5423  
<http://www.lhcf.org>  
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**From:** Rodriguez, Frank  
**To:** [Hector Torres](#)  
**Subject:** Fwd: UnLtd USA applications due Monday!  
**Date:** Thursday, September 24, 2015 2:14:45 PM

---

Still on for this?

Sent from my Sprint Samsung Galaxy S® 6 edge.

----- Original message -----

**From:** Mark Hand <[REDACTED]>  
**Date:** 9/24/2015 10:52 AM (GMT-06:00)  
**To:** "Rodriguez, Frank" <Frank.Rodriguez@austintexas.gov>  
**Subject:** UnLtd USA applications due Monday!

Howdy founders -

Just a quick reminder that [applications](#) for the third UnLtd USA cohort are due this Monday. If you have questions about the application, feel free to send us an email ([REDACTED]) or a text (+1-318-990-0242). We look forward to learning more about your organizations!

And in the interim, if you'd like to learn more about the founders we support, check out [the latest](#) from our investees and alumni. We think they're pretty great.

Cheers,  
Mark and the UnLtd USA team

**From:** Hector Torres  
**To:** ["Frank Rodriguez"; Rodriguez, Frank; "Lopez, Beto"](#)  
**Subject:** cultivateHealth meetup;  
**Date:** Wednesday, September 30, 2015 8:37:01 AM

---

Frank and Beto:

I'm wrapping up the agenda today and would like to include you both in next Wednesday's event but need to hear from you either way. Let me know if you can or cannot attend so I can move forward with the agenda.

So far we have BlueHubHealth and Clinical Pathology Laboratories on the panel, I would like to get 1-2 more panelists. Just need you for a few minutes then we will hand off to Q&A and lightening pitches from the audience.

Thanks!,  
Hector

**Hector Torres**

Chief Technology Officer  
Latino HealthCare Forum  
512.386.7777  
855.373.5423  
<http://www.lhcf.org>  
<http://cultivatehealth.chctx.org>

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**From:** Hector Torres  
**To:** [REDACTED]  
**Cc:** [Rodriguez, Frank](#)  
**Subject:** Internet of Things; mtg next week  
**Date:** Wednesday, September 30, 2015 8:28:43 AM

---

Ray:

Good talking with you this morning, always glad to hear the news of how we are pushing things forward! I'm super excited about how things are developing.

I think I speak for Frank when I say that this week is booked solid.

Lets shoot for next week coffee or lunch.

Thanks!,  
Hector

**Hector Torres**

Chief Technology Officer

Latino HealthCare Forum

512.386.7777

855.373.5423

<http://www.lhcf.org>

<http://cultivatehealth.chctx.org>

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**From:** Rodriguez, Frank  
**To:** [Nitin Gaur](#)  
**Cc:** [Hector Torres](#)  
**Subject:** Re: cultivateHealth hackathon  
**Date:** Wednesday, September 30, 2015 10:20:54 AM

---

I have a meeting being set up with Sandy. Let me know exactly what I need to ask of him.  
Thanks. FMR

--

Frank Rodriguez  
Senior Policy Advisor, Mayor's Office  
P.O. Box 1271  
Austin Texas 78767  
[REDACTED]

On Sep 30, 2015, at 7:13 AM, Nitin Gaur <[REDACTED]> wrote:

Thanks Hector

N

:)  
Nitin Gaur  
IBM Bluemix, IBM Cloud  
512-789-5300

<graycol.gif>"Hector Torres" ---09/30/2015 07:08:17 AM---Ok, I'll get with Frank

From: "Hector Torres" <[hector@lhcf.org](mailto:hector@lhcf.org)>  
To: Nitin Gaur/Austin/IBM@IBMUS  
Cc: "Frank Rodriguez" <[REDACTED]>  
Date: 09/30/2015 07:08 AM  
Subject: RE: cultivateHealth hackathon

---

Ok, I'll get with Frank

On InterConnect, yes, I submitted by day of the deadline. I'll login later today and update with you as a speaker as well

Thanks,  
Hector

**Hector Torres**

Chief Technology Officer



Latino HealthCare Forum

512.386.7777

855.373.5423

<http://www.lhcf.org><http://cultivatehealth.chctx.org>

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**From:** Nitin Gaur [<mailto:>   
**Sent:** Wednesday, September 30, 2015 7:01 AM  
**To:** Hector Torres <[hector@lhcf.org](mailto:hector@lhcf.org)>  
**Cc:** 'Frank Rodriguez' < >  
**Subject:** RE: cultivateHealth hackathon


That would be great..... Sandy may be able to help.

On InterConnect - have U submitted the proposal? If yes can U add me to the speaker list - that way I have visibility..

N

:)  
Nitin Gaur  
IBM Bluemix, IBM Cloud  
512-789-5300

-----"Hector Torres" <[hector@lhcf.org](mailto:hector@lhcf.org)> wrote: -----

To: Nitin Gaur/Austin/IBM@IBMUS  
From: "Hector Torres" <[hector@lhcf.org](mailto:hector@lhcf.org)>  
Date: 09/30/2015 06:56AM  
Cc: "'Frank Rodriguez'"  >  
Subject: RE: cultivateHealth hackathon  
Sounds good! Do you think this is something Frank should talk to Sandy about?

I have a follow up with Frank to talk about hackathon and maybe we can include this as part of the conversation including InterConnect.

Any news on InterConnect?




Thanks,  
Hector

**Hector Torres**

Chief Technology Officer  
Latino HealthCare Forum  
512.386.7777  
855.373.5423  
<http://www.lhcf.org>  
<http://cultivatehealth.chctx.org>

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**From:** Nitin Gaur [<mailto:>   
**Sent:** Wednesday, September 30, 2015 6:52 AM  
**To:** Hector Torres <[hector@lhcf.org](mailto:hector@lhcf.org)>  
**Subject:** Re: cultivateHealth hackathon

well..  
Kay was supposed to figure out the process of external funding...  
i.e we know we have to order food, we just need to see who  
pays for what meals...

lets talk this PM

N

:)  
Nitin Gaur  
IBM Bluemix, IBM Cloud  
512-789-5300

-----"Hector Torres" <[hector@lhcf.org](mailto:hector@lhcf.org)> wrote: -----  
To: Nitin Gaur/Austin/IBM@IBMUS  
From: "Hector Torres" <[hector@lhcf.org](mailto:hector@lhcf.org)>  
Date: 09/30/2015 06:47AM  
Subject: cultivateHealth hackathon  
**Nitin:**

I hope you are well and not too busy. Sorry, I've been out of touch been

super busy.

Let me know when you have time to catch up. I spoke to Kay and Natalie and looks like ball is in your court on catering for the event, so I'm told.

Give me a ring anytime, 512.554.8791

Thanks!,  
Hector

**Hector Torres**

Chief Technology Officer

Latino HealthCare Forum

512.386.7777

855.373.5423

<http://www.lhcf.org>

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**From:** Rodriguez, Frank  
**To:** [Hector Torres](#)  
**Subject:** RE: cultivateHealth hackathon  
**Date:** Friday, October 02, 2015 9:25:58 AM

---

I thought IBM was hosting. What happened?

Sent from my Sprint Samsung Galaxy S® 6 edge.

----- Original message -----

**From:** Hector Torres <[hector@lhcf.org](mailto:hector@lhcf.org)>  
**Date:** 10/2/2015 9:05 AM (GMT-06:00)  
**To:** "Rodriguez, Frank" <[Frank.Rodriguez@austintexas.gov](mailto:Frank.Rodriguez@austintexas.gov)>, 'Nitin Gaur'  
[REDACTED]  
**Cc:** 'Cole Sorency' <[REDACTED]>  
**Subject:** RE: cultivateHealth hackathon

Frank:

What you need to ask Sandy for is the following:

- Covering catering costs for the hackathon @IBM on Saturday, Oct 17<sup>th</sup> (breakfast, lunch and dinner)
- Covering catering costs for the hackathon @IBM on Saturday, Oct 18<sup>th</sup> (breakfast, lunch)
- Pushing our abstract for InterConnect 2016 so that you and I will present at the conference
- 2-3 tickets for the conference (\$7500 value; \$2500/each)

Nitin, Cole, I did I miss anything?

Thanks,  
Hector

**Hector Torres**

Chief Technology Officer  
Latino HealthCare Forum  
512.386.7777  
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<http://www.lhcf.org>  
<http://cultivatehealth.chctx.org>

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---

**From:** Rodriguez, Frank [mailto:Frank.Rodriguez@austintexas.gov]  
**Sent:** Wednesday, September 30, 2015 10:21 AM  
**To:** Nitin Gaur [REDACTED]  
**Cc:** Hector Torres <hector@lhcf.org>  
**Subject:** Re: cultivateHealth hackathon

I have a meeting being set up with Sandy. Let me know exactly what I need to ask of him.  
Thanks. FMR

--

Frank Rodriguez  
Senior Policy Advisor, Mayor's Office  
P.O. Box 1271  
Austin Texas 78767  
[REDACTED]

On Sep 30, 2015, at 7:13 AM, Nitin Gaur <[REDACTED]> wrote:

Thanks Hector

N

:)  
Nitin Gaur  
IBM Bluemix, IBM Cloud  
512-789-5300

<graycol.gif>"Hector Torres" ---09/30/2015 07:08:17 AM---Ok, I'll get with Frank

From: "Hector Torres" <[hector@lhcf.org](mailto:hector@lhcf.org)>  
To: Nitin Gaur/Austin/IBM@IBMUS  
Cc: "Frank Rodriguez" <[REDACTED]>  
Date: 09/30/2015 07:08 AM  
Subject: RE: cultivateHealth hackathon

---

Ok, I'll get with Frank

On InterConnect, yes, I submitted by day of the deadline. I'll login later today and update with you as a speaker as well

Thanks,  
Hector

**Hector Torres**

Chief Technology Officer

Latino HealthCare Forum



512.386.7777

855.373.5423

<http://www.lhcf.org>

<http://cultivatehealth.chctx.org>

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**From:** Nitin Gaur [<mailto:>   
**Sent:** Wednesday, September 30, 2015 7:01 AM  
**To:** Hector Torres <[hector@lhcf.org](mailto:hector@lhcf.org)>  
**Cc:** 'Frank Rodriguez'  >  
**Subject:** RE: cultivateHealth hackathon


That would be great..... Sandy may be able to help.

On InterConnect - have U submitted the proposal? If yes can U add me to the speaker list - that way I have visibility..

N

:)  
Nitin Gaur  
IBM Bluemix, IBM Cloud  
512-789-5300

-----"Hector Torres" <[hector@lhcf.org](mailto:hector@lhcf.org)> wrote: -----

To: Nitin Gaur/Austin/IBM@IBMUS  
From: "Hector Torres" <[hector@lhcf.org](mailto:hector@lhcf.org)>  
Date: 09/30/2015 06:56AM  
Cc: "'Frank Rodriguez'"  >  
Subject: RE: cultivateHealth hackathon  
Sounds good! Do you think this is something Frank should talk to Sandy about?

I have a follow up with Frank to talk about hackathon and maybe we can include this as part of the conversation including InterConnect.

Any news on InterConnect?




Thanks,  
Hector

**Hector Torres**

Chief Technology Officer  
Latino HealthCare Forum  
512.386.7777  
855.373.5423  
<http://www.lhcf.org>  
<http://cultivatehealth.chctx.org>

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**From:** Nitin Gaur [<mailto:>   
**Sent:** Wednesday, September 30, 2015 6:52 AM  
**To:** Hector Torres <[hector@lhcf.org](mailto:hector@lhcf.org)>  
**Subject:** Re: cultivateHealth hackathon

well..  
Kay was supposed to figure out the process of external funding...  
i.e we know we have to order food, we just need to see who  
pays for what meals...

lets talk this PM

N

:)  
Nitin Gaur  
IBM Bluemix, IBM Cloud  
512-789-5300

-----"Hector Torres" <[hector@lhcf.org](mailto:hector@lhcf.org)> wrote: -----  
To: Nitin Gaur/Austin/IBM@IBMUS  
From: "Hector Torres" <[hector@lhcf.org](mailto:hector@lhcf.org)>  
Date: 09/30/2015 06:47AM  
Subject: cultivateHealth hackathon  
**Nitin:**

I hope you are well and not too busy. Sorry, I've been out of touch been

super busy.

Let me know when you have time to catch up. I spoke to Kay and Natalie and looks like ball is in your court on catering for the event, so I'm told.

Give me a ring anytime, 512.554.8791

Thanks!,  
Hector

**Hector Torres**

Chief Technology Officer

Latino HealthCare Forum

512.386.7777

855.373.5423

<http://www.lhcf.org>

<http://cultivatehealth.chctx.org>

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**From:** Hector Torres  
**To:** [REDACTED] "Yael Alkalay"  
**Cc:** "Cole Sorency"; "Dennis Harrison"; [REDACTED] [REDACTED]  
[REDACTED] [sal@lhcf.org](mailto:sal@lhcf.org); [mayra@latinohealthcareforum.org](mailto:mayra@latinohealthcareforum.org); "Jessie Farris";  
[REDACTED] "Hovig Ohannessian"; [Rodriguez, Frank](#)  
**Subject:** Ideation Workshop  
**Date:** Monday, October 05, 2015 11:29:41 AM

---

Yael and Nitin:

Big thanks for organizing the Friday afternoon session for our group!

I think it was a great session and we look forward to seeing what will come about this Friday session prior to and for the upcoming healthcare hackathon, cultivateHealth. Most importantly I look forward to working more closely with IBM teams like the Mobile First team as the InterConnect conference is right around the corner.

On another note, following are the links to our social media and hackathon registration links, please help us in getting the word out; I hope to see as many of you all there:

- <http://www.meetup.com/cultivateHealthATX/>
- [@chaustintx](https://twitter.com/chaustintx)
- <http://cultivatehealth.chctx.org/>
- <https://cultivatehealthhackathonatx.eventbrite.com>

This mobile team is super awesome, thanks for your time! You all are the community's superheroes!

Many thanks,  
Hector

**Hector Torres**

Chief Technology Officer

Latino HealthCare Forum

512.386.7777

855.373.5423

<http://www.lhcf.org>

<http://cultivatehealth.chctx.org>

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**From:** Hector Torres  
**To:** "Chelsea Brass"; Rodriguez, Frank  
**Cc:** isabel@lhcf.org; sal@lhcf.org; linda@lhcf.org; jill@lhcf.org  
**Subject:** RE: U.S. Dept of Labor Secretary Perez to visit Austin  
**Date:** Wednesday, November 11, 2015 9:11:16 PM  
**Attachments:** [HealthCare BootCamp to Help Developers, Entrepreneurs and Innovators Use....pdf](#)

---

Chelsea:

Some points to consider for inclusion:

- CHWs can be:
  - o Technology evaluators/testers
  - o Technology innovators
- Long term strategies:
  - o LHCF and/or CHC can focus on workforce innovation:  
<http://www.dol.gov/opa/media/press/eta/ETA20151913.htm>
  - o LHCF via CHC can work on training programs to bridge the digital divide; we can work towards, "... implementing and testing innovative ways to deliver services more efficiently, facilitate cooperation across programs and funding streams, and create programs aligned to fulfill the skill needs of specific employers or industry sectors."
  - o The above would directly address the DOL mission, "...advance opportunities for profitable employment..."

The long term can be addressed via hackathon and post hackathon activities in collaboration with its partners: IBM, UT Design Institute for Health, St Davids, CPL and Sendero Health

Attached is a press release to help craft some of that message

Let me know what questions you have about what I've proposed

---

**From:** Chelsea Brass [mailto:chelsea@lhcf.org]  
**Sent:** Wednesday, November 11, 2015 9:51 AM  
**To:** Rodriguez, Frank <Frank.Rodriguez@austintexas.gov>  
**Cc:** Isabel <isabel@latinohealthcareforum.org>; sal@lhcf.org; Jill Ramirez <jill@latinohealthcareforum.org>; Linda Smith <Linda@latinohealthcareforum.org>; Hector Torres <hector@lhcf.org>  
**Subject:** Re: U.S. Dept of Labor Secretary Perez to visit Austin

I am currently developing a piece for making a case for CHWs for this occasion, and could use your input in developing a formal workforce proposal. If you would like to review it, please see attached documents, as well as a draft brochure of the CHWs that we need to pare down before the event.

From: [Hector Torres](#)  
To: [Rodriguez, Frank](#)  
Cc: [REDACTED]  
Subject: connecting the dots; TechHire Grant Competition (DOL)  
Date: Thursday, November 12, 2015 10:46:53 AM

---

Frank:

LHCF, CHC + emPoder + IBM + DOL may be able to assist Mayor Adler with Assisting Homeless Veterans and training others in the community to get tech skills to uplift them into better socio-economic prosperous situation(s):

<http://www.dol.gov/dol/grants/funding-ops.htm>

"...The Obama Administration announced a commitment to make a **\$100 million available** through the U.S. Department of Labor **to support innovative approaches to moving lower skilled workers on the fastest paths to well-paying information technology and high growth jobs in industries like healthcare...**" "Grants will pilot and scale innovative partnerships between employers, workforce boards, training institutions, non-profit organizations, and cities and states across the country. These partnerships will support the implementation of job-driven training strategies to help workers complete basic and technical skills training using evidence-based strategies such as accelerated learning, work-based learning and Apprenticeships."

If we don't bring this up, it could be a huge missed opportunity; fyi, IBM has a partnership with AVNET for technical training:

<https://academy.avnet.com/us/vendor/ibm/training/>

This can directly address needs in the IT community to develop more skilled labor to develop mobile, web and other apps to build solutions, based on IBM Bluemix, Watson Health, etc., to directly address what the cultivateHealth hackathon was setup to do, which is develop solutions to solve problems relative to healthcare in various communities. emPoder can setup the training strategies to then develop mobile, web and other apps to address various healthcare problems.

Respectfully,  
Hector

**Hector Torres**

Chief Technology Officer  
Latino HealthCare Forum

512.386.7777

855.373.5423

<http://www.lhcf.org>

<http://cultivatehealth.chctx.org>

---

**From:** Rodriguez, Frank  
**Sent:** Tuesday, November 10, 2015 8:14 PM



**From:** Rodriguez, Frank  
**To:** [Hector Torres](#)  
**Cc:** [sal@lhcf.org](mailto:sal@lhcf.org); [linda@lhcf.org](mailto:linda@lhcf.org)  
**Subject:** Re: connecting the dots; TechHire Grant Competition (DOL)  
**Date:** Thursday, November 12, 2015 3:59:04 PM

---

The Mayor's office has a TechHire initiative underway. Lots of meetings, but so far Austin has not been chosen to participate in the Federal program so there's not any money. San Antonio has a really good model program that has been funded. I'll check to see what the Austin Techhire folks are planning to see if there are opportunities. As far as the homeless initiatives there is much activity primarily focused around housing and whole health such as the article you cited. I'll check in on this as well. Do you have specific ideas or is this just in general? Google San Antonio for their TechHire to see what they are doing to get some ideas. FMR

--

Frank Rodriguez  
Senior Policy Advisor, Mayor's Office  
P.O. Box 1271  
Austin Texas 78767  
[REDACTED]

On Nov 12, 2015, at 2:54 PM, Hector Torres <[hector@lhcf.org](mailto:hector@lhcf.org)> wrote:

LHCF should partner with this initiative to make the healthcare high tech training happen:  
<http://www.austinmonitor.com/stories/2015/11/mayor-community-leaders-unveil-new-facility-for-the-homeless/>

**Hector Torres**

Chief Technology Officer  
Latino HealthCare Forum  
512.386.7777  
855.373.5423  
<http://www.lhcf.org>  
<http://cultivatehealth.chctx.org>

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**From:** Hector Torres [<mailto:hector@lhcf.org>]  
**Sent:** Thursday, November 12, 2015 10:47 AM  
**To:** 'Rodriguez, Frank' <[Frank.Rodriguez@austintexas.gov](mailto:Frank.Rodriguez@austintexas.gov)>  
**Cc:** '[sal@lhcf.org](mailto:sal@lhcf.org)' <[sal@lhcf.org](mailto:sal@lhcf.org)>; '<[linda@lhcf.org](mailto:linda@lhcf.org)>' <[linda@lhcf.org](mailto:linda@lhcf.org)>  
**Subject:** connecting the dots; TechHire Grant Competition (DOL)

Frank:

LHCF, CHC + emPoder + IBM + DOL may be able to assist Mayor Adler with Assisting

Homeless Veterans and training others in the community to get tech skills to uplift them into better socio-economic prosperous situation(s):

<http://www.dol.gov/dol/grants/funding-ops.htm>

"...The Obama Administration announced a commitment to make a **\$100 million available** through the U.S. Department of Labor **to support innovative approaches to moving lower skilled workers on the fastest paths to well-paying information technology and high growth jobs in industries like healthcare...**" "Grants will pilot and scale innovative partnerships between employers, workforce boards, training institutions, non-profit organizations, and cities and states across the country. These partnerships will support the implementation of job-driven training strategies to help workers complete basic and technical skills training using evidence-based strategies such as accelerated learning, work-based learning and Apprenticeships."

If we don't bring this up, it could be a huge missed opportunity; fyi, IBM has a partnership with AVNET for technical training:

<https://academy.avnet.com/us/vendor/ibm/training/>

This can directly address needs in the IT community to develop more skilled labor to develop mobile, web and other apps to build solutions, based on IBM Bluemix, Watson Health, etc., to directly address what the cultivateHealth hackathon was setup to do, which is develop solutions to solve problems relative to healthcare in various communities. emPoder can setup the training strategies to then develop mobile, web and other apps to address various healthcare problems.

Respectfully,  
Hector

**Hector Torres**

Chief Technology Officer

Latino HealthCare Forum

512.386.7777

855.373.5423

<http://www.lhcf.org>

<http://cultivatehealth.chctx.org>

---

**From:** Rodriguez, Frank

**Sent:** Tuesday, November 10, 2015 8:14 PM


**To:** Isabel; Sal; Jill; Linda Smith; hector lhcf. org; Chelsea Brass

**Subject:** Fwd: U.S. Dept of Labor Secretary Perez to visit Austin

This is turning into a big deal for the Mayor's office. Please let me know what you are planning as soon as possible. An agenda, itinerary, invite list, etc. would be helpful. I spoke to Jill last Friday about this and we agreed that Central Health should be invited

to the event. Also, one item you should be thinking about is bringing up is training monies from DOL for CHWs. Thanks. FMR

--

Frank Rodriguez  
Senior Policy Advisor, Mayor's Office  
P.O. Box 1271  
Austin Texas 78767  


Begin forwarded message:

**From:** "Cisneros, Eduardo - OCIA" <[Cisneros.Eduardo@dol.gov](mailto:Cisneros.Eduardo@dol.gov)>  
**Date:** November 9, 2015 at 2:59:13 PM CST  
**To:** "[frank.rodriquez@austintexas.gov](mailto:frank.rodriquez@austintexas.gov)" <[frank.rodriquez@austintexas.gov](mailto:frank.rodriquez@austintexas.gov)>  
**Subject:** RE: U.S. Dept of Labor Secretary Perez to visit Austin

Hi Frank,

Hope you had a nice weekend, and thanks so much again for taking the time to connect with me last week. It sounds like we're going to proceed with an event with the Latino HealthCare Forum. Thanks so much for your thoughts and assistance to the group. Question, would you by chance be available to join a call with the point person for DOL for that event as well as our communications team? They'd like to discuss media outreach and may take you up on the offer for the PSA.

Are you by chance available for a conference call with our team on Friday, 11/13 in the mid-afternoon? Perhaps 2pm or 3pm EST?

Eduardo

Eduardo Cisneros  
U.S. Department of Labor  
Office of Intergovernmental Affairs  
202-693-4615  
[Cisneros.Eduardo@dol.gov](mailto:Cisneros.Eduardo@dol.gov)

**From:** Cisneros, Eduardo - OCIA  
**Sent:** Thursday, November 05, 2015 5:24 PM  
**To:** '[frank.rodriquez@austintexas.gov](mailto:frank.rodriquez@austintexas.gov)'  
**Cc:** '[Barbara.Shack@austintexas.gov](mailto:Barbara.Shack@austintexas.gov)'  
**Subject:** U.S. Dept of Labor Secretary Perez to visit Austin

Frank,

I received your contact information from Barbara this afternoon as I was calling your

office to make mention that Secretary Perez will be traveling to Austin later this month and will participate at an ACA Enrollment Event in the Greater Austin area. I know the Mayor is out of town on the date we're considering, but if your schedule allows, I would love to connect with you about the event and actually solicit your thoughts on our plans if possible. Would you be able to connect in the near future to discuss? Happy to make myself available to connect to discuss.

Thank you,  
Eduardo

Eduardo Cisneros  
U.S. Department of Labor  
Office of Intergovernmental Affairs  
202-693-4615  
[Cisneros.Eduardo@dol.gov](mailto:Cisneros.Eduardo@dol.gov)

**From:** Rodriguez, Frank  
**To:** [Hector Torres](#)  
**Subject:** Fwd: THANK YOU!  
**Date:** Wednesday, December 02, 2015 6:50:38 AM

---

FYI

--

Frank Rodriguez  
Senior Policy Advisor, Mayor's Office  
P.O. Box 1271  
Austin Texas 78767  
[REDACTED]

Begin forwarded message:

**From:** Sandy Dochen [REDACTED]  
**Date:** December 1, 2015 at 2:54:25 PM CST  
**To:** "Rodriguez, Frank" <[Frank.Rodriguez@austintexas.gov](mailto:Frank.Rodriguez@austintexas.gov)>  
**Subject:** THANK YOU!

Frank, I can't thank you enough for bringing the mayor to IBM this morning. We had a great time with him and appreciate the time you all spent. Mayor Adler's message about how IBM has added to the city's innovative culture---and vice versa---truly resonated.

Based on our conversation, I'd like to work with you on finding time for a follow-up visit of some of us with the mayor (and others) when the timing is good for you. Since it's always a challenge to round up a variety of people, perhaps we start now on isolating a span of time.

Please let me know what you need next from me.

Frank, it's a pleasure to work with you!

Thanks...  
Sandy Dochen

Manager, Corporate Citizenship and Corporate Affairs,  
Texas, Louisiana, Arkansas  
IBM  
11400 Burnet Road, MS 045-2K-027  
Austin, TX 78758

Phone: 512-286-5987  
T/L 363-5987

[REDACTED]  
[REDACTED] [com](#)



**From:** Frank Rodriguez  
**To:** [Rodriguez, Frank](#)  
**Subject:** PPT  
**Date:** Tuesday, December 01, 2015 1:31:52 PM  
**Attachments:** [LHCFNEWBIZMODEL.pptx](#)

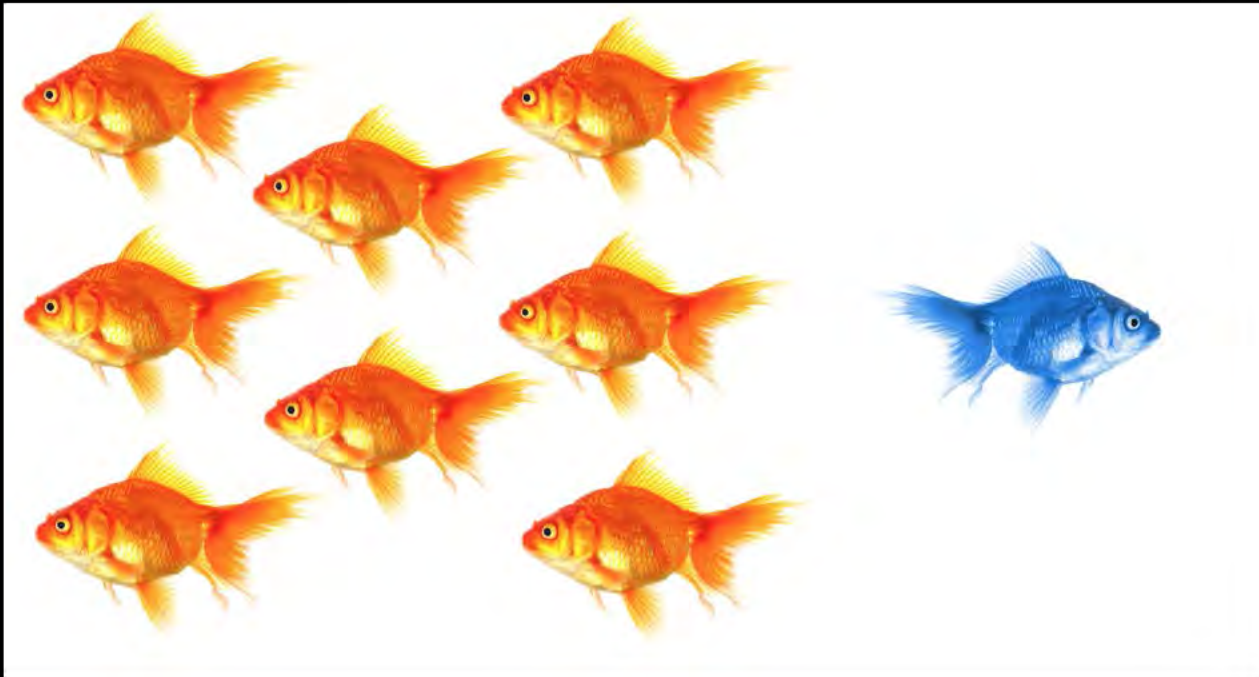
---

--

Frank M. Rodriguez  
P.O. Box 1271  
Austin, Texas 78767

c 

# A New Business Model



A proposed hybrid model that  
can operate as both a for-profit  
and a nonprofit

# Why Review the Business Model?

- Economic pressures require it – Greater global demand to get better outcomes for the money being spent
- Demographics demand it - Current healthcare delivery system is no longer viable. Instead, we're moving toward a model focused on community care setting and patients.
- Technology enables it – Healthcare organizations arrive at innovation by relying on new or existing information technology focused on three areas:
  - (1) How the patient is seen; (2) how the patient is heard; and, (c) how the patient's needs are met

# Nonprofit Business Model – Financial Structure

- Viewed primarily as mission driven and success focus is on organization's impact in the community.
- NPs are business enterprises as well, built on underlying biz model that makes the programs and organizations operate and succeed
- NPs must prepare their next business model and invest resources to sustain the mission and serve the community. Preparation takes four steps:
  - Understand the current model; diagnose any critical weaknesses; forecast and plan a structure that will address the weaknesses and be effective in the short and mid-term future
- The financial structure contains four core components that create value for the community and sustains the business entity. All are interrelated and each affects the other.

# Business Model Components



# Transforming Nonprofit Business Models

- **Revenue Mix** — value revenue diversification
- **Infrastructure** — Change the expense structure while maintaining vital infrastructure
- **Cost of Effective Programs** — Understand the true cost of delivering programs
- **Capital Structure** — Build appropriate capital structure in assets and liquid funds





# Social Innovation –

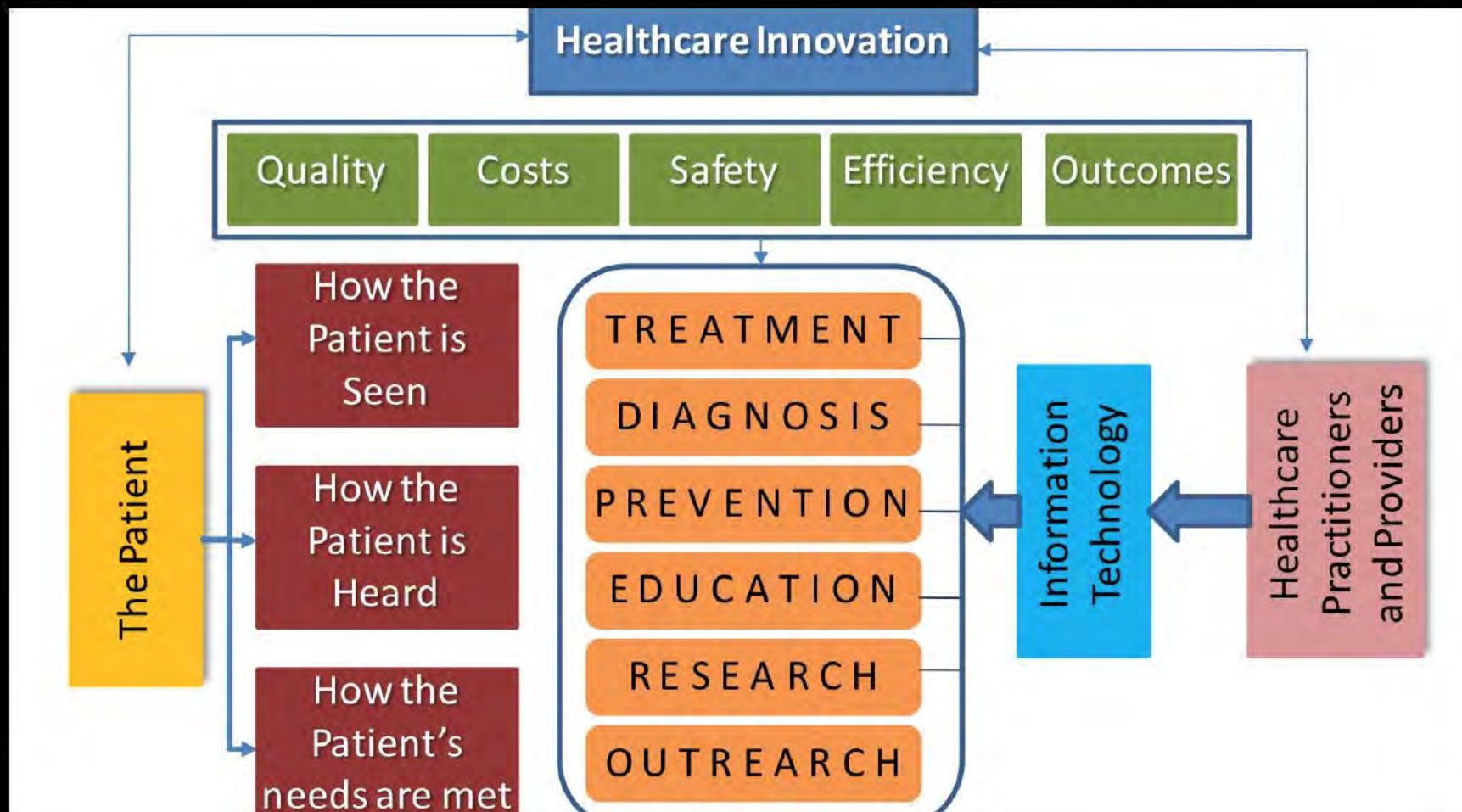
The future is already here. Its just not evenly distributed.

- A large proportion of practices and information on health IT and disparities focuses on the benefits of adoptive and effective use of health IT tools.
- At the same time, uneven implementation of health IT can potentially play a role in exacerbating disparities in health care quality and outcomes.
- If disparities populations and the providers that serve them are allowed to lag behind without benefit of health IT then the disparities gap can even widen.
- Health IT tools must be developed and deployed in a manner appropriate to underserved populations in order for the full potential benefits to be accrued.

# Social Innovation

- “Social innovations are new solutions (products, services, models, markets, processes, etc.) that simultaneously meet a social need (more effectively than existing solutions) and lead to new or improved capabilities and relationships and better use of assets and resources.”
- The mainstream global economy is built on open data, mobile and social connectivity, and the wisdom of crowds
- The social sector, by contrast is showing few signs of the future, continuing to operate in an outdated paradigm that places a premium on control; a reliance on experts and one-way communications flows.

# Healthcare Innovation



# Health Social Innovation – Idea to Impact examples

1. HCI Platform (USA) – In 35 states. Supports hospitals, public health agencies, community coalitions, and other health organizations. Mapping and data visualization tools identify intervention opportunities for targeting resources. A database of thousands of evidence based programs lets developers find the most appropriate for technology solutions. Includes local content, databases, quality of life indicators, SDOH. The HCI Platform is available as either a stand-alone platform or integrated within a website.
2. USAID's Center for Accelerating Innovation and Impact. Their framework includes:
  - Stage 1: Identify Needs and Design
  - Stage 2: Evaluate market feasibility and potential for scale
  - Stage 3: Develop and execute an operational launch plan
  - Stage 4: Introduce and Scale (monitor and optimize)

# Social Innovation – Transformational Forces

- **Portable, participatory, and personal information** – Why aren't we seeing more creative uses of technologies to tackle serious issues
- **Social Networks and Media** – Why aren't we better connecting people using technologies to connect people to child care, social services, jobs, and health?
- **Big Data** – Can the great promise of big data become humanity's dashboard and provide us with better ways to understanding where our resources should be concentrated to make the biggest difference?
- **Frugal Innovation**- Can we apply lean solutions that deliver improved or previously non-existent services by stripping down products to the level of basic need?
- **Collaboration is the new competition**- Can we let go of information and invent new collaborative problem-solving mechanisms to achieve larger goals?

# Health Social Innovation— Other Examples

1. Austin Mass Challenge
2. Austin Social innovators/Fellows-in-Residence
3. Big and Bold Idea social innovation prize
4. Healthy City Model
5. MedTech Acceleration + the Health Innovation Zone
6. Open Data for Health Transformation
7. Pay for Success Model (demonstration projects)



# Potential Impact of IT

- Quality of Care – improve providers' decision-making processes, facilitate quality reporting, and increase access to a broader range of quality healthcare services
- Access to Care – telehealth and distant medicine can improve access to specialist services and ancillary services (case mgmt., transportation, and translation) and can assist in providing low-cost preventative health services
- Chronic Disease Mgmt. – can facilitate improved care coordination and consumer IT tools can promote better mgmt. of chronic disease
- Health Outcomes – Impact on health delivery, safety, and patient engagement has the potential to improve health outcomes for the underserved
- Patient Engagement – Can aid in educating users about their condition and their treatment options as well as improving health literacy in general. Can target care that addresses patient cultural and language needs and to stay actively involved in their health plan

# A New Type of Hybrid: Social Entrepreneurship + Business Equity

## KEY POINT

- U.S. Law does not recognize any single legal entity that can simultaneously accept tax-deductible capital; invested capital (equity investments); and, quasi-invested capital (such as loans or program related investments from foundations that are structured as investments but the funder expects nor demands a market rate of return)

## HYBRID APPROACH

- A way to get the best of the for-profit and nonprofit models is to create a hybrid structure; separate nonprofit and for-profit organizations that are bound together through legal agreements and contracts
- Social entrepreneurs have taken the hybrid model to manage a nonprofit's for profit activities or a for-profit will use the nonprofit to manage its philanthropic work

# The Hybrid

- It is based on the principle that a single entity – be it nonprofit or a traditional for-profit cannot by itself do everything a social venture needs to do.
- Instead the hybrid uses a series of contracts and agreements that allows them to conduct a wide range of activities and generate synergies that cannot be done with a single legal entity
- Hybrids are not new and many charities create for-profit entities and enter into strategic relationships with for profits to exploit their assets in the marketplace

# The Hybrid – LHCF and emPoder Services

## LHCF: Bringing Continually Updated Data

- Community Health Needs Assessments
- Implementation Strategy
- Technical Assistance
- Capacity Building

## emPoder: development of population health improvement platform

- Platform to support public health solutions for hospitals, public health, community coalitions, and other health organizations
- Platform to provide private sector driven innovative solutions to health needs and issues
- Database of many evidence-based programs to find most appropriate for strategies

# emPoder – empowering communities with a social business approach

- In the business of enabling efficient social and business interactions, mediated by software.
- Solutions designed and implemented together with communities, guaranteeing long-term empowerment
- Enable access to affordable new critical technologies that improve the lives of community members and they have a market-based approach that spurs local economies – creating new assets and generating business opportunities – and guarantees the economic viability of the model, making them scalable or replicable in other areas

# The Revolution Will be Platformed

- New rules of scale create opportunities to innovate and create solutions for community health
- Shift in business design from “pipes” to “platforms”
- Platforms allow participants to co-create and exchange value with each other
  - External developers can extend platform functionality using its APIs and contribute back to the infrastructure
  - Platform users who act as producers can create value on the platform for others to use



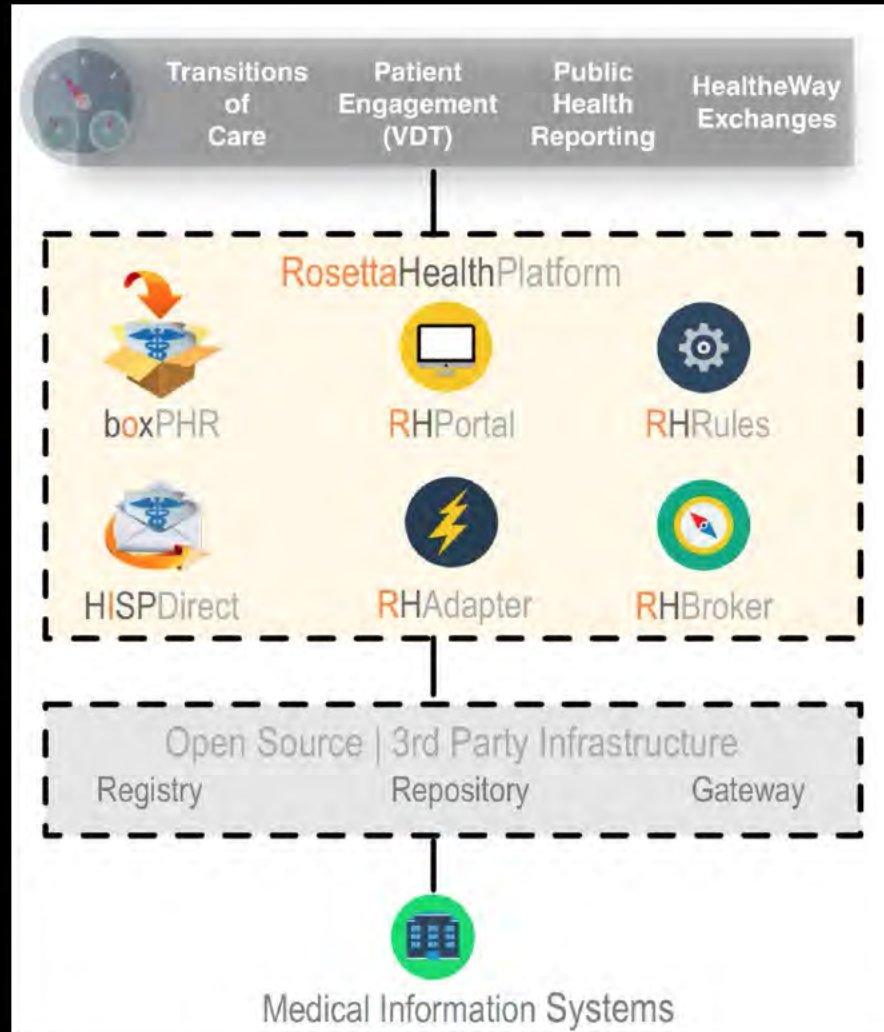
# The Revolution Will be Platformed

- At their core, platforms enable a plug-and-play business model. Other businesses can easily connect their business with the platform, build products and services on top of it, and co-create value.
- Value is created and scaled through interactions that orchestrate users and resources in the platform ecosystem.
- All platforms perform two roles:
  - (1) provide open, participative plug-and-play infrastructure for producers and consumers to plug into to and interact with each other; and,
  - (2) curate participants on the platform and govern the social and economic interactions that ensue.
- Social networked platforms include Facebook, YouTube, and Twitter that allow users to create content and interact with each other
- Tinder and Airbnb, facilitate in-person interactions
- Ubers manage the coordination and movement of resources in real time

# Platform Stack – An Architectural Framework

- Across all platforms, three distinct layers emerge repeatedly:
  - Network/Marketplace Community (comprised of participants on the platform and their relationships)
  - Infrastructure (the layer includes the tools, services, and rules that enable the plug-and-play nature of a platform business)
  - Data (data allows the platform to match supply with demand and powers relevance, matching the most relevant content/goods/services with the right users.)

# Platform Example



# Data

- Big data can improve public health surveillance and response.
- Three types: Open, Big, and Evidence Based
- “Big Data” – datasets whose size is beyond the ability of typical database software tools to capture, store, manage, and analyze
- Big data creates value
  - Creates transparency; enables experimentation to discover needs and improve performance; segment populations to customize actions; support human decision making with automated algorithms; innovate new business models, products, and services

# Data

- Use of data will become a key basis of competition and growth for individual firms
- While the use of big data will matter across sectors, some sections are poised for greater gains
- Health sector is estimated to capture the most new value
- Four distinct big data pools: (1) Pharma R&D data; (2) Clinical data; (3) Claims and cost data; and, (4) Patient behavior and sentiment data

# Data – New Business Models

1. Aggregating and synthesizing patient clinical records and claims datasets – to provide data and services to third parties.
2. Online platforms and communities – Examples in practice include Patientslikeme.com where individuals can share their experience as patients in the system; Sermo.com, a forum for physicians to share their medical insights; and, Participatorymedicine.org by a nonprofit that encourages patient activism.



# LHCF/emPoder Projects

- Follow-up to Hackathon projects
- Develop the business relationship with IBM
- Develop architecture of the platform (network/marketplace community; infrastructure, and data)
- Complete emPoder business model and adjust LHCF business model to align (scaling up)
- Develop an LHCF mHealth application

# Next Steps

- January 1 – Launch of emPoder
- Hector Torres becomes employee of emPoder and contractor to LHCF acting as CTO
- Continues working at Sendero and LHCF as contractor to LHCF
- emPoder and LHCF work on agreements pertaining to pursuing various activities

TEXAS SECRETARY OF STATE

ROLANDO PABLOS

[UCC](#) | [Business Organizations](#) | [Trademarks](#) | [Notary](#) | [Account](#) | [Help/Fees](#) | [Briefcase](#) | [Logout](#)

BUSINESS ORGANIZATIONS INQUIRY - VIEW ENTITY

|                                 |                                                        |                       |                                          |
|---------------------------------|--------------------------------------------------------|-----------------------|------------------------------------------|
| <b>Filing Number:</b>           | 802215100                                              | <b>Entity Type:</b>   | Domestic Limited Liability Company (LLC) |
| <b>Original Date of Filing:</b> | May 14, 2015                                           | <b>Entity Status:</b> | Forfeited existence                      |
| <b>Formation Date:</b>          | N/A                                                    |                       |                                          |
| <b>Tax ID:</b>                  | 32057251798                                            | <b>FEIN:</b>          |                                          |
| <b>Duration:</b>                | Perpetual                                              |                       |                                          |
| <b>Name:</b>                    | emPoder, LLC                                           |                       |                                          |
| <b>Address:</b>                 | 7800 N MOPAC EXPY STE 210<br>AUSTIN, TX 78759-8959 USA |                       |                                          |

| <a href="#">REGISTERED AGENT</a> | <a href="#">FILING HISTORY</a> | <a href="#">NAMES</a> | <a href="#">MANAGEMENT</a>                | <a href="#">ASSUMED NAMES</a> | <a href="#">ASSOCIATED ENTITIES</a> |
|----------------------------------|--------------------------------|-----------------------|-------------------------------------------|-------------------------------|-------------------------------------|
| <b>Last Update</b>               | <b>Name</b>                    | <b>Title</b>          | <b>Address</b>                            |                               |                                     |
| May 14, 2015                     | Frank Rodriguez                | Manager               | 6601 Felix Avenue<br>Austin, TX 78741 USA |                               |                                     |
| May 14, 2015                     | Hector Torres                  | Manager               | 6601 Felix Avenue<br>Austin, TX 78741 USA |                               |                                     |

[Order](#) [Return to Search](#)

**Instructions:**  
● To place an order for additional information about a filing press the 'Order' button.

Secretary of State  
P.O. Box 13697  
Austin, TX 78711-3697  
FAX: 512/463-5709

Filing Fee: \$300



**Certificate of Formation  
Limited Liability Company**

**Filed in the Office of the  
Secretary of State of Texas  
Filing #: 802215100 05/14/2015  
Document #: 606672110002  
Image Generated Electronically  
for Web Filing**

**Article 1 - Entity Name and Type**

The filing entity being formed is a limited liability company. The name of the entity is:

**emPoder, LLC**

**Article 2 – Registered Agent and Registered Office**

☐ A. The initial registered agent is an organization (cannot be company named above) by the name of:

**OR**

☒ B. The initial registered agent is an individual resident of the state whose name is set forth below:

**Name:**

**Carolyn Beckett**

C. The business address of the registered agent and the registered office address is:

**Street Address:**

**7800 N. MoPac, Suite 210 Austin TX 78759**

**Consent of Registered Agent**

☐ A. A copy of the consent of registered agent is attached.

**OR**

☒ B. The consent of the registered agent is maintained by the entity.

**Article 3 - Governing Authority**

☒ A. The limited liability company is to be managed by managers.

**OR**

☐ B. The limited liability company will not have managers. Management of the company is reserved to the members.

The names and addresses of the governing persons are set forth below:

Manager 1: **Hector Torres**

Title: **Manager**

Address: **6601 Felix Avenue Austin TX, USA 78741**

Manager 2: **Frank Rodriguez**

Title: **Manager**

Address: **6601 Felix Avenue Austin TX, USA 78741**

**Article 4 - Purpose**

The purpose for which the company is organized is for the transaction of any and all lawful business for which limited liability companies may be organized under the Texas Business Organizations Code.

**Supplemental Provisions / Information**

[The attached addendum, if any, is incorporated herein by reference.]

**Organizer**

The name and address of the organizer are set forth below.

**Carolyn Beckett**      **7800 N. MoPac, Suite 210, Austin, Texas 78759**

**Effectiveness of Filing**

☒ A. This document becomes effective when the document is filed by the secretary of state.

**OR**

☐ B. This document becomes effective at a later date, which is not more than ninety (90) days from the date of its signing. The delayed effective date is:

**Execution**

The undersigned affirms that the person designated as registered agent has consented to the appointment. The undersigned signs this document subject to the penalties imposed by law for the submission of a materially false or fraudulent instrument and certifies under penalty of perjury that the undersigned is authorized under the provisions of law governing the entity to execute the filing instrument.

**Carolyn Beckett**

Signature of Organizer

**FILING OFFICE COPY**



**Forfeiture pursuant to Section 171.309 of the Texas Tax Code  
of  
emPoder, LLC**

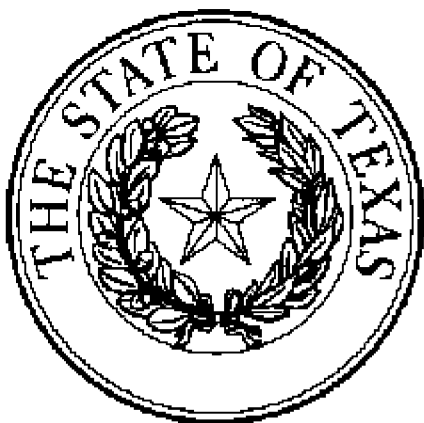
File Number : 802215100

Certificate / Charter forfeited : January 27, 2017

The Secretary of State finds that:

1. The Secretary has received certification from the Comptroller of Public Accounts under Section 171.302 of the Texas Tax Code indicating that there are grounds for the forfeiture of the taxable entity's charter, certificate or registration; and
2. The Comptroller of Public Accounts has determined that the taxable entity has not revived its forfeited privileges within 120 days after the date that the privileges were forfeited.

Therefore, pursuant to Section 171.309 of the Texas Tax Code, the Secretary of State hereby forfeits the charter, certificate or registration of the taxable entity as of the date noted above and records this notice of forfeiture in the permanent files and records of the entity.



A handwritten signature in black ink, appearing to read "RBP".

Rolando B. Pablos  
Secretary of State



**From:** Rodriguez, Frank  
**To:** [REDACTED]  
**Subject:** RE: conference call; 1/26  
**Date:** Friday, January 22, 2016 9:29:00 AM

---

Please don't use my city email for outside activities. City email is only for city business. FMR

**From:** Joshua Rosenthal [mailto:[REDACTED]]  
**Sent:** Friday, January 22, 2016 9:24 AM  
**To:** Hector Torres  
**Cc:** Rodriguez, Frank  
**Subject:** Re: conference call; 1/26

Perfect - sounds great.

Works for me and looking forward to it.

Josh

On Friday, January 22, 2016, Hector Torres [REDACTED] wrote:  
Josh:

I hope all is well. I'm following up to our text (SMS) exchange the other day. You should have received a google meeting invite from my personal email address (was doing some work there and I wanted to kill a few birds with one stone).

Frank and I usually meet Tuesday morning's to catch up on things and again I wanted to kill two birds with one stone. That said, want to see if you can join us towards the tail end of our conversation (we usually meet in a loud coffee shop so I'm thinking we might call you from Frank's office afterwards).

The agenda in the meeting invite is for Frank and I to go over but there are items that we want to cover with you as well.

Hector+Frank+Josh Draft Agenda:

- Sendero (pay for service – pay for value)
- City of Austin
- Afoundria
- cultivateHealthATX2.0
  - o Health Datapalooza

I'll let Frank chime in with his two cents.

Lastly, please let me know if Tuesday, Jan., 26<sup>th</sup> 9am conference call works for you, if not please propose another date and time.

Thanks!,  
Hector

## STATEMENT OF FINANCIAL INFORMATION

This Statement is made for the reporting period: **January 1 through December 31, 2014.**

## FINANCIAL DISCLOURE

**Submit Date: 05-Nov-2015**

---

**Personal Information**

**Name:** Rodriguez, Frank M

**Address:**

PO Box 1271

Austin, TX 78767

**Occupation:** Senior Policy Advisor, Mayor's Office

---

[REDACTED]

**Name:** [REDACTED]

**Address:**

[REDACTED]

[REDACTED]

**Occupation:** [REDACTED]

- 
- 1 List all sources of occupational income that exceeded 10% of your gross income or \$5,000 in salary, bonuses, commissions or professional fees, or \$20,000 in payment for goods, products or non-professional services per source.**

|   | <b>Name of employer or source of income</b> | <b>Business address</b>             | <b>Nature of occupation or business</b> |
|---|---------------------------------------------|-------------------------------------|-----------------------------------------|
| 1 | Latino HealthCare Forum                     | 6601 Felix Ave. Austin, Texas 78741 | Health nonprofit                        |

- 
- 2 If you are a self-employed solo practitioner or if you had at least 5% interest in a partnership, professional corporation or other entity through which you do business, list the names and addresses of clients or customers from whom you or this partnership, professional corporation, or entity received 10% or more of gross income or \$5,000 in salary, bonuses, commissions or professional fees; or \$20,000 in payment for goods, products or non-professional services during the reporting period.**

|                            |         |
|----------------------------|---------|
| Name of client or customer | Address |
|----------------------------|---------|

N/A

- 
- 3 . List all sources of income which exceeded either \$5,000 or were in excess of 10% of your gross income received from interest, dividends, royalties, rents, trust disbursements or other non-occupational sources.**

|                |                  |
|----------------|------------------|
| Name of source | Nature of income |
|----------------|------------------|

N/A

- 
- 4 Identify any source (person, business entity or other organization) of a gift of any money or other thing of value exceeding \$100 or identify any source who gave you a series of gifts the total value of which exceeds \$100. You need not report campaign contributions which are reported as required by other law and you need not report gifts received from the following relatives: Spouse, Children, Children-in-law, Parents, Parents-in-Law, Grandchildren, Grandchildren-in-Law, Grandparents, Grandparents-in-Law, Brothers, Brothers-in-Law, Sisters, Sisters-in-Law, Uncles, Uncles-in-Law, Aunts, Aunts-in-Law, Nephews, Nephews-in-Law, Nieces, Nieces-in-Law, First Cousins, or First Cousins-in-Law.**

|                        |
|------------------------|
| Name of source of gift |
|------------------------|

N/A

- 
- 5 List the names of any corporation, partnership, limited partnership, or other entity in which you held, owned, acquired, or sold stock, or any other equity ownership having a value exceeding \$5,000 or equivalent to 5% or more of the stock or equity in the entity, at any time during the reporting period.**

|                           |
|---------------------------|
| Name of company or entity |
|---------------------------|

N/A

- 
- 6 . List and describe all bonds, notes and other commercial paper which you held, owned, acquired or sold at any time during the reporting period if the combined face value of the bonds, notes and commercial paper exceeded \$5,000.**

|                                        |
|----------------------------------------|
| <b>Description of commercial paper</b> |
|----------------------------------------|

N/A

---

**7 . List all other income or revenue in excess of \$5,000 per source.**

|   | <b>Name of source</b> |
|---|-----------------------|
| 1 | Social Security       |

---

**8 List and describe all real property in which you hold any legal or beneficial interest including real property for which you have entered a contract for sale. The description should be sufficient to locate the property, and include the street address, if any, and the present use of the property.**

|   | <b>Street address of property</b> | <b>Description of property</b> | <b>Present use of property</b> |
|---|-----------------------------------|--------------------------------|--------------------------------|
| 1 |                                   | Ranch                          | Part-time residence            |

---

**9 List and describe all real property held, owned, acquired or sold, or under a contract for sale by a corporation, partnership, limited partnership, professional corporation or other entity in which you own or control at least a 5% interest. The description should be sufficient to locate the property and include a street address, if any, and the present use of the property.**

| <b>Street address of property</b> | <b>Description of property</b> | <b>Present use of property</b> |
|-----------------------------------|--------------------------------|--------------------------------|
|-----------------------------------|--------------------------------|--------------------------------|

N/A

---

**10 . List all loans and extensions of credit in excess of \$5,000 on which you are the lender or creditor, including the name of the debtor and the rate of interest, if any.**

| <b>Name of obligee</b> | <b>Rate of interest, if any</b> |
|------------------------|---------------------------------|
|------------------------|---------------------------------|

N/A

---

**11 . List all loans or transactions in excess of \$5,000 on which you are a guarantor or co-**

signer including the names of the borrower and lender.

| Name of obligee/lender | Rate of interest, if any |
|------------------------|--------------------------|
|------------------------|--------------------------|

N/A

- 
- 12 List all loans, debts, and other financial liabilities you have which are in excess of \$5,000 which are presently outstanding or which existed at any time during the reporting period.**

| Name of lender/creditor/obligee | Rate of interest, if any | Date obligation was incurred |
|---------------------------------|--------------------------|------------------------------|
|---------------------------------|--------------------------|------------------------------|

N/A

---

**List all loans, debts, and other financial liabilities in excess of \$5,000 of any corporation, partnership, limited partnership, professional corporation or other entity in which you own or control at least a 5% interest which are presently outstanding or which existed at any time during the reporting period.**

| Name of lender/creditor/obligee | Rate of interest, if any | Date obligation was incurred |
|---------------------------------|--------------------------|------------------------------|
|---------------------------------|--------------------------|------------------------------|

N/A

- 
- 13 List all boards of directors of which you are a member and the offices or executive positions which you hold in corporations, partnerships, limited partnerships, professional corporations, or other entities, including non-business entities. ( Do not include positions on corporations or other entities owned by the City of Austin or created by the City Council. )**

|   | Name of organization        | Position held |
|---|-----------------------------|---------------|
| 1 | SIMS Foundation (nonprofit) | Treasurer     |

---

**Electronic Certification by Affidavit**



I swear or affirm, under penalty of perjury, that the facts stated in the above Statement of Financial Information are true to the best of my knowledge or belief and the Statement fully shows all information required to be reported by me pursuant to section [2-7-72](#) of the City Code for the reporting period indicated.

This electronically submitted Statement of Financial Information is considered to be under oath by the person required to file the Statement regardless of the absence of or defect on the affidavit of verification, including the signature.

I, **Rodriguez, Frank M**, hereby swear of affirm that I have completed the Statement of Financial Information on **November 05, 2015**.

## CHAPTER 2-7. - ETHICS AND FINANCIAL DISCLOSURE.

## ARTICLE 1. - GENERAL PROVISIONS.

## § 2-7-1 - DECLARATION OF POLICY.

- (A) It is the policy of the City that the proper operation of democratic government requires that public officials and employees be independent, impartial and responsible to the people; that governmental decisions and policy be made in proper channels of the governmental structure; that public office not be used for personal gain; and that the public have confidence in the integrity of its government. In recognition of these goals, a code of ethics for all City officials and employees is adopted.
- (B) This code has the following four purposes:
  - (1) To encourage high ethical standards in official conduct by City officials and employees;
  - (2) To establish guidelines for ethical standards of conduct for all such officials and employees by setting forth those acts or actions that are incompatible with the best interests of the City;
  - (3) To require disclosure by such of official and employees of private financial or other interests in matters affecting the City; and
  - (4) To serve as a basis for disciplining those who refuse to abide by its terms.
- (C) The provisions of this chapter shall not apply to political contributions, loans, expenditures, reports or regulation of political campaigns or the conduct of candidates in such campaigns.

*Source: 1992 Code Section 2-3-1; Ord. 031204-9; Ord. 031211-11.*

## § 2-7-2 - DEFINITIONS.

In this chapter:

- (1) AFFECTED means in the case of a person, entity or property, means reasonably likely to be subject to a direct economic effect or consequence, either positive or negative, as a result of the vote or decision in question. For instance, a person or entity owning real property, entering into a contract with the City, or seeking a permit or franchise is "affected" by votes or decisions such as zoning of the property, approval of the contract, or granting of the permit. Affected does not include those persons or entities who are subject to an indirect or secondary effect from official action. Creditors, independent contractors, or guarantors of a person "affected" by a vote or decision are not also deemed to be "affected" by virtue of their relationship with the affected person. The vote or decision need not be the only producing cause of the economic effect or consequence reasonably likely to result. In determining whether a person, entity or property is or was "affected by" a vote or decision, it shall not be necessary to prove the actual existence or occurrence of an economic effect or consequence if such effect or consequence would be reasonably expected to exist or occur. Additionally, a vote or decision to place a matter on a ballot is deemed to affect a person, entity or property to the same extent that the results of the election would effect the person, entity or property.
- (2) CITY EMPLOYEE or EMPLOYEE means any person employed by the City but does not include independent contractors hired by the City.
- (3) CITY OFFICIAL or OFFICIAL, unless otherwise expressly defined, means the mayor, members of the city council, municipal court judges (including substitute judges), city manager, assistant city managers, city clerk, deputy city clerks, city attorney, deputy city attorneys, all department heads or deputy department heads, whether such person is salaried, hired or elected, and all other persons holding positions designated by the City Charter, as it may be amended from time

to time. City official, unless otherwise expressly defined, includes individuals appointed by the mayor and city council to all City commissions, committees, boards, task forces, or other City bodies unless specifically exempted from this chapter by the city council.

- (4) **DECISION** means any ordinance, resolution, contract, franchise, formal action or other matter voted on by the city council or other City board or commission, as well as the discussions or deliberations of the council, board, or commission which can or may lead to a vote or formal action by that body. A decision of a City employee means any action in which the employee exercises discretionary authority, including but not limited to the issuance of permits, imposition or collection of fines or fees, authorizations for expenditures, and other non-ministerial acts.
- (5) **DISCRETIONARY AUTHORITY** means the power to exercise any judgment in a decision or action.
- (6) **ENTITY** means a sole proprietorship, partnership, limited partnership, firm, corporation, professional corporation, holding company, joint stock company, receivership, trust or any other entity recognized by law through which business may be conducted, but does not include a governmental body.
- (7) **HARM** means anything reasonably regarded as loss, disadvantage, or injury, including harm to another person in whose welfare the person affected has an interest.
- (8) **INCIDENTAL INTEREST** means an interest in a person, entity or property which is not a substantial interest and which has insignificant value, or which would be affected only in a de minimis fashion by a decision. This chapter does not establish dollar limits on the terms "insignificant value" and "de minimis," which shall have their usual meanings and be subject to interpretation on a case by case basis.
- (9) **MINISTERIAL ACT** means an act performed in a prescribed manner and not requiring the exercise of any judgment or discretion.
- (10) **REMOTE INTEREST** means an interest of a person or entity, including a City official or employee, who would be affected in the same way as the general public. The interest of a councilmember in the property tax rate, general City fees, City utility charges, or a comprehensive zoning ordinance or similar decisions is incidental to the extent that the councilmember would be affected in common with the general public.
- (11) **SUBSTANTIAL INTEREST** means an interest in another person or an entity if: the interest is ownership of five percent or more of the voting stock, shares or equity of the entity or ownership of \$5,000 or more of the equity or market value of the entity; or funds received by the person from the other person or entity either during the previous 12 months or the previous calendar year equaled or exceeded \$5,000 in salary, bonuses, commissions or professional fees or \$20,000 in payment for goods, products or nonprofessional services, or 10 percent of the person's gross income during that period, whichever is less; the person serves as a corporate officer or member of the board of directors or other governing board of the for-profit entity other than a corporate entity owned or created by the city council; or the person is a creditor, debtor, or guarantor of the other person or entity in an amount of \$5,000 or more except that a home mortgage loan for the person's homestead or a loan or lease of a personal automobile shall not be deemed a substantial interest in the creditor or guarantor if entered into at a market rate with a commercial lending institution before the previous 12 months.
- (12) **SUBSTANTIAL INTEREST IN REAL PROPERTY** means an interest in real property which is an equitable or legal ownership with a market value of \$5,000 or more.

*Source: 1992 Code Section 2-3-2; Ord. 031204-9; Ord. 031211-11; Ord. 20110428-047; Ord. No. [20170209-005](#), Pt. 5, 2-20-17.*

## ARTICLE 2. - ETHICS REVIEW COMMISSION.

#### § 2-7-26 - FUNCTIONS.

The Ethics Review Commission has jurisdiction over this chapter, Section 2-1-24 ( *Conflict of Interest and Recusal* ), Chapter 2-2 ( *Campaign Finance* ), Chapter 4-8 ( *Regulation of Lobbyists* ), and Article III, Section 8, of the City Charter ( *Limits on Campaign Contributions and Expenditures* ). The commission shall hear and rule on sworn complaints alleging violations of the provisions within the commission's jurisdiction. The city manager shall provide funding for all necessary and reasonable functions of the commission in fulfilling the commission's duties.

Source: 1992 Code Section 2-3-26; Ord. 031204-9; Ord. 031211-11; Ord. 20080214-012; Ord. 20120426-084; Ord. No. [20170209-005](#), Pt. 6, 2-20-17.

#### § 2-7-27 - LIMIT ON THE COMMISSION'S JURISDICTION.

Notwithstanding any other provision of the City Code, the Ethics Review Commission may not hear or initiate a sworn complaint alleging a violation of Article 4 ( *Code of Ethics* ) against a member of the City's classified municipal civil service system or a member of a state civil service system.

Source: [Ord. No. 20150129-021, Pt. 1, 2-9-15](#).

#### § 2-7-28 - (RESERVED)

#### § 2-7-29 - REPORTS.

On an annual basis, the city manager shall provide a report to the commission of training regarding this chapter that is provided to newly appointed board and commission members and to newly employed City employees.

Source: Ord. No. [20170209-005](#), Pt. 7, 2-20-17.

**Editor's note**— Ord. No. [20170209-005](#), Pt. 7, adopted February 20, 2017, repealed the former § 2-7-29, and enacted a new § 2-27-29 as set out herein. The former § 2-7-29 pertained to reports; opinions. See Code Comparative Table for complete derivation.

#### § 2-7-30 - DUTIES.

(A) The Ethics Review Commission shall, in addition to its other duties:

- (1) prescribe forms for reports, statements, notices, and other documents required by the provisions within the commission's jurisdiction;
- (2) prepare and publish materials explaining the duties of individuals subject to the provisions within the commission's jurisdiction;
- (3) accept and file any information voluntarily supplied that exceeds the requirements of the provisions within the commission's jurisdiction;
- (4) preserve statements and reports filed with the commission for a period of five years from the date of receipt;
- (5) review the provisions within the commission's jurisdiction and make appropriate recommendations to the city council concerning the provisions within the commission's jurisdiction, and perform an annual review and evaluation of the dollar limits established in

Chapter 2-2 ( *Campaign Finance* ) and make recommendations to the city council as to those limits;

- (6) conduct hearings in accordance with the provisions of this chapter and the commission's rules on sworn complaints alleging violations of the provisions within the commission's jurisdiction; and
  - (7) schedule and oversee the forums among candidates in City elections provided for in Chapter 2-2 ( *Campaign Finance* ).
- (B) The commission may:
- (1) prepare reports and studies to advance the purposes of the provisions within the commission's jurisdiction;
  - (2) request the city council and city manager to provide such assistance as it may require in the discharge of its duties; and
  - (3) review statements and reports filed under provisions within the commission's jurisdiction in order to obtain compliance with the provisions.

*Source: 1992 Code Section 2-3-30; Ord. 031204-9; Ord. 031211-11; Ord. 20120426-084; Ord. No. [20170209-005](#), Pt. 8, 2-20-17.*

#### § 2-7-31 - STAFFING.

- (A) The Ethics Review Commission shall be assigned staff by the city attorney to assist in its duties.
- (B) When complaints are filed related to the mayor, city councilmembers, city manager, city attorney, department heads and deputies, independent legal counsel shall be utilized to advise the commission and participate in hearings.
- (C) (1) A City official or employee may request, and the city attorney shall thereupon promptly issue, a confidential written opinion concerning the meaning or effect of a section, word, or requirement of this chapter as it affects the official or employee, except that the city attorney will not issue a written opinion regarding a matter related to a complaint currently pending before the commission.
- (2) If a complaint is subsequently filed with the commission about any specific action, omission, or alleged conflict of interest which has been the subject, whole or in part, of a city attorney's opinion, the independent legal counsel shall act as commission attorney on said complaints.
- (D) The city clerk shall make the reporting and complaint forms and information developed by the Commission available to the public and shall assist citizens in complying with filing procedures.

*Source: 1992 Code Section 2-3-31; Ord. 031204-9; Ord. 031211-11; Ord. 20060209-003; Ord. No. [20170209-005](#), Pt. 9, 2-20-17.*

#### § 2-7-32 - RULES.

The Ethics Review Commission may adopt, amend, and rescind rules of procedure to carry out the provisions of this chapter. Such rules shall be consistent with this chapter and other applicable law.

*Source: 1992 Code Section 2-3-32; Ord. 031204-9; Ord. 031211-11.*

### ARTICLE 3. - VIOLATIONS; COMPLAINT AND HEARING PROCEDURES.

#### § 2-7-41 - COMPLAINTS.

- (A) In this article:
- (1) COMPLAINANT means a person filing a sworn complaint.
  - (2) RESPONDENT means a person who is alleged in a sworn complaint to have violated a provision within the jurisdiction of the Ethics Review Commission:
  - (3) IDENTIFIED PERSON means a person, other than the respondent, who is identified by name in a sworn complaint as being involved in the alleged inappropriate conduct.
- (B) A complaint alleging a violation of a provision within the jurisdiction of the Ethics Review Commission shall specify each code section or charter provision alleged to have been violated. A complaint must state that the facts alleged are true and factual to the best knowledge of the person filing the complaint and be sworn to before a person authorized by law to administer an oath.
- (C) A complaint alleging a violation within the jurisdiction of the commission must be filed with the city clerk not later than the second anniversary of the date of the action alleged as a violation, and may not be filed afterward.
- (D) On the sworn complaint of any person filed with the city clerk's office or on the commission's own initiative, the commission shall consider possible violations of a provision within the jurisdiction of the commission by City officials and employees, former City officials and employees, candidates for election to City offices, and other persons subject to the provisions set forth in Section 2-7-26 ( *Functions* ). The commission may not consider complaints against its own members.
- (E) Not later than the fifth working day after the city clerk receives a sworn complaint, the city clerk shall acknowledge the receipt of the complaint to the complainant and provide a copy of the complaint to the city attorney, the chair of the commission, and the respondent. The city clerk shall also send a copy of the complaint to any identified person whose contact information is listed on the complaint form.
- (F) Not later than the fifth working day after receipt of a complaint from the city clerk, the chair of the commission shall make an initial determination as to whether the complaint is within the commission's jurisdiction.
- (1) If the chair determines that a complaint is within the commission's jurisdiction, the chair shall set the complaint for a preliminary hearing not later than the 60th day after the chair's initial determination, unless agreed to by the parties or by a vote of the commission. The commission may overturn the chair's initial jurisdictional determination at the preliminary hearing.
    - (a) Not later than the 10th working day prior to the meeting, the chair shall cause a written notice of the date of the preliminary hearing to be sent to the complainant, the respondent, and any identified person whose contact information is listed on the complaint form or is reasonably ascertainable.
    - (b) For good cause, the chair may postpone a scheduled preliminary hearing on the request of the complainant, the respondent, or an identified person.
  - (2) If the chair determines that a complaint is not within the commission's jurisdiction, the commission shall review the chair's determination and may overturn the chair's determination.
    - (a) Not later than the fifth working day after the chair determines that a complaint is not within the commission's jurisdiction, the chair shall cause a written notification of the initial determination to be sent to the complainant, the respondent, and any identified person whose contact information is listed on the complaint form or is reasonably ascertainable.
    - (b) If the commission determines that a complaint is not within its jurisdiction, not later than the 10th working day after the commission's determination, the chair shall cause a written notification of the commission's final jurisdictional determination to be sent to the complainant, the respondent, and any identified person whose contact information is listed on the complaint form or is reasonably ascertainable.



- (i) If the commission determines that a complaint is not within the commission's jurisdiction, the commission may refer the complaint to the city auditor for possible investigation.
  - (ii) If the commission refers a complaint to the city auditor under this subsection, the written notification required under subsection (F)(2)(b) shall state that the commission has referred the complaint to the city auditor for possible investigation.
- (c) If the commission overturns the chair's initial determination and determines that a complaint is within the commission's jurisdiction, the chair shall set the complaint for a preliminary hearing not later than the 60th day after the commission's determination, unless agreed to by the parties or by a vote of the commission. Subsection (F)(1)(a) and (b) shall govern the sending of notices and granting of postponements.
- (G) The commission may consider a possible violation of a provision within the jurisdiction of the commission on the commission's own initiative. Not later than the 10th working day after the commission's decision to consider a possible violation, the commission shall draft a written complaint specifying each code section or charter provision alleged to have been violated, shall file a copy of the complaint with the city clerk, and shall provide a copy of the complaint to the city attorney, the respondent, and any identified person whose contact information is obtained by the commission. A complaint initiated by the commission need not be sworn.
  - (1) The chair shall set the complaint for preliminary hearing not later than the 60th day after the complaint is filed with the city clerk, unless agreed to by the respondent or by a vote of the commission.
  - (2) Not later than the 10th working day prior to the meeting, the chair shall cause a written notice of the date of the preliminary hearing to be sent to the respondent and to any identified person whose contact information has been obtained by the commission.
  - (3) For good cause, the chair may postpone a scheduled preliminary hearing under this subsection on the request of the respondent or an identified person.
- (H) A member of the commission may not take any part in a deliberation, vote, or decision regarding a sworn complaint alleging a violation by the council member that nominated the commission member.

*Source: 1992 Code Section 2-3-41; Ord. 031204-9; Ord. 031211-11; Ord. 20120426-084; [Ord. No. 20160922-005, Pt. 2, 6-1-17](#); Ord. No. [20170209-005](#), Pt. 10, 2-20-17; Ord. No. [20170209-005](#), Pt. 11, 6-1-17.*

Ordinance No. [20170209-005](#), Pt. 11 which adds Subsection (H) takes effect June 1, 2017.

#### § 2-7-42 - DEFENSE OF OFFICIAL OR EMPLOYEE BY CITY ATTORNEY.

In the event a complaint is filed with the Ethics Review Commission against any official or employee of the City, alleging a violation of Article 4 ( *Code of Ethics* ), if the official or employee reasonably believed the conduct charged was not prohibited by Article 4 ( *Code of Ethics* ) and acted in reasonable reliance upon a public opinion rendered by the city attorney, the city attorney shall be authorized to represent the official or employee before the commission, or to employ and pay private counsel to represent the official or employee before the commission.

*Source: 1992 Code Section 2-3-42; Ord. 031204-9; Ord. 031211-11.*

#### § 2-7-43 - PROHIBITION OF EX PARTE COMMUNICATIONS.

After a complaint has been filed and during the pendency of a complaint before the Ethics Review Commission, a member of the commission may not communicate directly or indirectly with any party or person about any issue of fact or law regarding the complaint, except at a meeting of the commission.

*Source: 1992 Code Section 2-3-43; Ord. 031204-9; Ord. 031211-11.*

#### § 2-7-44 - PRELIMINARY HEARING.

- (A) The issue at a preliminary hearing shall be the existence of reasonable grounds to believe that a violation of a provision within the jurisdiction of the Ethics Review Commission has occurred. The complainant, or the legal counsel for the Ethics Review Commission in cases considered on the commission's own initiative, shall state the alleged violation and shall describe in narrative form the testimony and other evidence which would be presented to prove the alleged violation as stated in the written complaint. Statements at a preliminary hearing shall be under oath, but there shall be no cross-examination or requests for persons or evidence issued for the hearing. Members of the commission may question the complainant, legal counsel for the commission, or the respondent.
- (B) The respondent shall have the opportunity to respond but is not required to attend or make any statement. The respondent may describe in narrative form the testimony and other evidence which would be presented to disprove the alleged violation. If the respondent agrees that a violation has occurred, the respondent may so state and the commission may consider the appropriate sanction or prosecution.
- (C) The complainant and the respondent shall have the right of representation by counsel.
- (D) At the conclusion of the preliminary hearing, the commission shall decide whether a final hearing should be held. If the commission determines that there are reasonable grounds to believe that a violation within the jurisdiction of the commission has occurred, the commission shall schedule a final hearing. If the commission does not determine that there are reasonable grounds to believe that a violation has occurred, the complaint is dismissed. A decision to conduct a final hearing is not a finding that a violation has occurred.
- (E) The commission, at any time during the preliminary hearing, may also dismiss a complaint if the complaint does not allege conduct which would be a violation of a provision within the jurisdiction of the commission. Before a complaint is dismissed for failure to allege a violation, the complainant or the legal counsel for the commission shall be permitted one opportunity, within a period to be specified, to revise and resubmit the complaint.
- (F) The complainant, legal counsel for the commission, and the respondent may ask the commission at a preliminary hearing to request certain persons and evidence for a final hearing, if one is scheduled.

*Source: 1992 Code Section 2-3-44; Ord. 031204-9; Ord. 031211-11; Ord. 20120426-084; Ord. No. [20170209-005](#), Pt. 12, 2-20-17.*

#### § 2-7-45 - FINAL HEARING.

- (A) Unless otherwise agreed to by the parties or by a vote of the commission, the final hearing shall be held not later than the 60th day after the determination by the commission that there are reasonable grounds to believe that a violation within the jurisdiction of the commission has occurred.
- (B) For good cause, the chair may postpone a scheduled final hearing on the request of the complainant, the respondent, or an identified person.
- (C) The complainant and respondent must attend a final hearing. If the respondent fails to attend, the commission may proceed with the final hearing at the commission's discretion.

- (D) The issue at a final hearing shall be whether a violation within the jurisdiction of the commission has occurred. The commission shall make its determination based on the preponderance of the credible evidence in the record. All parties and witnesses shall make their statements under oath.
- (E) If the commission determines that a violation has occurred, the commission shall state the commission's findings in writing, shall identify each code section or charter provision that has been violated, and, not later than the 10th working day after the final hearing, the chair shall cause a copy of the commission's findings to be sent to the complainant, if any, to the respondent, to any identified person whose contact information is listed on the complaint form or is reasonably ascertainable, and to the city clerk.

*Source: 1992 Code Section 2-3-45; Ord. 031204-9; Ord. 031211-11; Ord. 20120426-084; Ord. No. [20170209-005](#), Pt. 13, 2-20-17.*

#### § 2-7-46 - OATHS AND REQUESTS FOR INFORMATION.

- (A) If a complaint proceeds to a final hearing, the commission may subpoena or request witnesses to attend and testify, administer oaths and affirmations, take evidence, and subpoena or request the production of books, papers, records, or other evidence needed for the performance of the commission's duties or exercise of its powers, including its duties and powers of investigation.
- (B) The commission may request assistance from the city auditor with the investigation of allegations in a complaint.
- (C) The commission may consider the city auditor's investigation at a final hearing on a complaint.

*Source: 1992 Code Section 2-3-46; Ord. 031204-9; Ord. 031211-11; Ord. No. [20170209-005](#), Pt. 14, 2-20-17.*

#### § 2-7-47 - PROSECUTION.

If the Ethics Review Commission determines that a violation of a provision subject to a criminal penalty has occurred, the commission shall deliver a copy of the commission's findings to the complainant, if any, the respondent, and the city attorney and may recommend prosecution or set forth requirements to be complied with in order that voluntary compliance may be had and final determination obtained.

*Source: 1992 Code Section 2-3-47; Ord. 031204-9; Ord. 031211-11; Ord. 20120426-084; Ord. No. [20170209-005](#), Pt. 15, 2-20-17.*

#### § 2-7-48 - SANCTIONS.

- (A) This section applies only to violations other than violations of Chapter 2-2 ( *Campaign Finance* ) and Article III, Section 8, of the City Charter ( *Limits on Campaign Contributions and Expenditures* ).
- (B) If the Ethics Review Commission determines that a violation of Sections 2-7-62 ( *Standards of Conduct* ), 2-7-63 ( *Prohibition on Conflict of Interest* ), 2-7-64 ( *Disclosure of Conflict of Interest* ), and 2-7-65 ( *Substantial Interest of Relative* ) occurred, it shall proceed directly to determination of the appropriate sanction(s). A violation of Sections 2-7-62 ( *Standards of Conduct* ), 2-7-63 ( *Prohibition on Conflict of Interest* ), 2-7-64 ( *Disclosure of Conflict of Interest* ), and 2-7-65 ( *Substantial Interest of Relative* ) shall not be subject to criminal penalties under the City Code. The commission may receive additional testimony or statements before considering sanctions but is not required to do so. If the respondent acted in reliance upon a public written opinion of the city attorney, the commission shall consider that fact.

- (C) If the commission determines that a violation has occurred, the commission may impose or recommend the following sanctions:
- (1) A letter of notification is the appropriate sanction when the violation is clearly unintentional, or when the respondent's conduct complained of was made in reliance on a public written opinion of the city attorney. A letter of notification must advise the respondent of any steps to be taken to avoid future violations. The commission may direct a letter of notification to any official or employee covered by this chapter.
  - (2) A letter of admonition is the appropriate sanction if the commission finds that the violation is minor or may have been unintentional, but calls for a more substantial response than a letter of notification. The commission may admonish any official or employee covered by this chapter.
  - (3) A reprimand is the appropriate sanction when the commission finds that a violation has been committed intentionally or through disregard of this chapter. The commission may reprimand any official or employee covered by this chapter. A reprimand directed to a City official shall also be sent to the city council. A reprimand directed to an employee shall be sent to the city manager and included in said employee's personnel file.
  - (4) A recommendation of removal from office or a recommendation of suspension from office, including a recommendation for the length of a suspension, is the appropriate sanction when the commission finds that a serious or repeated violation of this chapter has been committed intentionally or through culpable disregard of this chapter. A recommendation regarding an unsalaried City official or a salaried official appointed by the city council shall be transmitted by the commission to the city council. The final authority to carry out a recommendation regarding an unsalaried City official or of a salaried official appointed by the city council is the city council. A recommendation regarding a City employee shall be directed by the commission to the city manager. The final authority to carry out a recommendation regarding a city employee is the city manager.
  - (5) A letter of censure or a recommendation of recall is the appropriate sanction when the commission finds that a serious or repeated violation of this chapter has been committed intentionally or through culpable disregard of this chapter by an elected City official. A letter of censure or a recommendation of recall directed to an elected City official shall be transmitted by the commission to the city clerk, published by the city clerk in a local newspaper of the largest general circulation, and shall be sent by the commission to the city council.

*Source: 1992 Code Section 2-3-48; Ord. 031204-9; Ord. 031211-11; Ord. 20120426-084.*

#### § 2-7-49 - CAMPAIGN VIOLATIONS.

- (A) This section applies to violations of Chapter 2-2 ( *Campaign Finance* ) and Article III, Section 8, of the City Charter ( *Limits on Campaign Contributions and Expenditures* ).
- (B) If the Ethics Review Commission determines that a violation of a provision to which this section applies has probably occurred:
- (1) the commission may recommend that the city attorney prosecute the violation;
  - (2) request the appointment of a special prosecutor in cases where it finds this action necessary, with funding provided by the City; or
  - (3) if the commission finds that the violation is minor, clerical, or may have been unintentional, the commission may recommend that the violation not be prosecuted or be prosecuted only if the violation is not corrected.
- (C) The commission may consider a violation's severity, frequency, or intentional nature.
- (D) If a respondent is an entity, the commission may find that an individual has violated a provision subject to the section.

- (E) This section does not require the commission to make a recommendation with respect to a complaint.
- (F) The commission may draft and publish a letter of notification, a letter of admonition, a reprimand, or a letter of censure to a respondent found to have violated a provision subject to this section. The Commission shall apply the criteria in Section 2-7-48 ( *Sanctions* ) to determine the appropriate sanction to impose.
- (G) This section does not limit the prosecutorial discretion of the city attorney.

*Source: Ord. 20120426-084; [Ord. No. 20160922-005, § 3, 6-1-17](#); Ord. No. [20170209-005](#), Pt. 16, 2-20-17.*

**Editor's note**— [Ordinance No. 20160922-005](#) takes effect on June 1, 2017. Ord. No. [20170209-005](#), Pt. 16 which amended subsection (F) takes effect February 20, 2017.

#### § 2-7-50 - LOBBYING VIOLATIONS.

- (A) This section applies to violations of Chapter 4-8 ( *Regulation of Lobbyists* ).
- (B) For an allegation in a complaint relating to a violation of Chapter 4-8, the commission shall hold only a preliminary hearing, and shall not hold a final hearing.
- (C) The commission shall refer an allegation for which the commission finds a reasonable basis to believe that there may be a violation to the city attorney for prosecution.
- (D) This section does not limit the prosecutorial discretion of the city attorney.

*Source: [Ord. No. 20160922-005, Pt. 4, 6-1-17](#).*

**Editor's note**— [Ordinance No. 20160922-005](#) takes effect on June 1, 2017.

#### ARTICLE 4. - CODE OF ETHICS.

#### § 2-7-61 - CONDUCTING BUSINESS THROUGH PARTNERSHIPS, PROFESSIONAL CORPORATIONS, AND OTHER ENTITIES.

If a City official or employee is a member of a partnership or professional corporation, or conducts business through another entity, a substantial interest of the partnership, professional corporation, or entity shall be deemed to be a substantial interest of the City official or employee if:

- (A) the partnership or professional corporation has fewer than 20 partners or shareholders;
- (B) regardless of the number of partners or shareholders, the official or employee has an equity interest, share, or draw equal to or greater than five percent of the capital or revenues of the partnership, professional corporation, or other entity; or
- (C) with regard to the partnership, professional corporation, or other entity's substantial interest in a client, the official has personally acted within the preceding 24 months in a professional or fiduciary capacity for that client.

*Source: 1992 Code Section 2-3-61; Ord. 031204-9; Ord. 031211-11.*

#### § 2-7-62 - STANDARDS OF CONDUCT.

- (A) No City official or employee shall transact any business in his official capacity with any entity in which he has a substantial interest.
- (B) No City official or employee shall formally appear before the body of which the official or employee is a member while acting as an advocate for himself or any other person, group, or entity.
- (C) No salaried City official or employee shall represent, for compensation, any other person, group or entity before any department, commission, board or committee of the City.
- (D) No salaried City official or employee shall represent, directly or indirectly, any other person, group or entity in any action or proceeding against the interests of the City, or in any litigation in which the City or any department, commission, or board or committee thereof is a party; provided, however, that nothing herein shall limit the authority of the city attorney and his staff to represent the City, its boards, commissions, committees and officers and particularly the Human Rights Commission in the discharge of their duties, including equal employment opportunity cases.
- (E) No salaried City official or employee shall represent, directly or indirectly, any person, group or entity in any action or proceeding in the municipal courts of the City which was instituted by a City official or employee in the course of official duties.
- (F) No City official shall represent any person, group or entity in any action or proceeding in the municipal courts of the City which was instituted by or arising from a decision of a board, commission, committee, task force or other body on which the official serves.
- (G) No City official or employee shall accept or solicit any gift or favor, that might reasonably tend to influence that individual in the discharge of official duties or that the official or employee knows or should know has been offered with the intent to influence or reward official conduct
- (H)
  - (1) No City official or employee shall solicit or accept other employment to be performed or compensation to be received while still a City official or employee, if the employment or compensation could reasonably be expected to impair independence in judgment or performance of City duties.
  - (2) If a City official or employee accepts or is soliciting a promise of future employment from any person or entity who has a substantial interest in a person, entity or property which would be affected by any decision upon which the official or employee might reasonably be expected to act, investigate, advise, or make a recommendation, the official or employee shall disclose that fact to the board or commission on which he serves or to his supervisor and shall take no further action on matters regarding the potential future employer.
- (I) A salaried City official or employee may not use the official's or the employee's official position to secure a special privilege or exemption for the official or the employee, to secure a special privilege or exemption for another person, to harm another person, or to secure confidential information for a purpose other than official responsibilities.
- (J) No City official or employee shall use City facilities, personnel, equipment or supplies for private purposes, except to the extent such are lawfully available to the public.
- (K) No City official or employee shall accept remuneration, directly or indirectly, for campaign work relating to an item placed on the ballot if that individual served on the body which exercised discretionary authority in the development of the ballot item and participated in the discussion or voted on the item.
- (L) No salaried City official and certain City employees to include the mayor, councilmembers, the city manager, assistant city managers, the city clerk, deputy city clerks, council aides, municipal court clerk, deputy municipal court clerks, municipal judges (including substitute judges), the city auditor, assistants to the city auditor, the city attorney, deputy city attorneys, assistant city attorneys, purchasing agents and those employees with the authority to purchase or contract for the City, all department heads, deputy department heads, and the spouse of each of the above, shall solicit nor propose on a contract, enter into a contract or receive any pecuniary benefit from any contract with the City. This prohibition does not include any employment contract which may be authorized for the official, a contract of sale for real property or a contract for services which are available to all citizens.



- (M) For a period of two years after leaving office, a former mayor or councilmember may not solicit or propose on a contract with the City or enter into a contract with the City for the sale to the City of any goods or services other than real estate. This subsection does not apply to a former mayor or councilmember who had a business relationship with the City in the six months immediately preceding taking the office of mayor or councilmember if the solicitation or proposal is on behalf of the same business.
- (N) For a period of two years after leaving office, a former mayor or councilmember, members of their family, or anyone acting on their behalf, may not sell or lease any real estate to the City unless the city council has designated the property for acquisition and would otherwise have to acquire the property through its power of eminent domain.
- (O) A City official or employee may not engage in fraud or abuse, as defined in City Code Chapter 2-3 ( *City Auditor* ).

*Source: 1992 Code Section 2-3-62; Ord. 031204-9; Ord. 031211-11; Ord. 20110428-047; Ord. No. [20170209-005](#), Pts. 17, 18, 2-20-17.*

#### § 2-7-63 - PROHIBITION ON CONFLICT OF INTEREST.

- (A) A City official or employee may not participate in a vote or decision on a matter affecting a natural person, entity, or property in which the official or employee has a substantial interest; provided, however, that this provision shall not prohibit any member of the city council from participating in a discussion relating to a petition certified to the city council by the city clerk which petition seeks the recall of said member of the city council.
- (B) A City official or employee who serves as a corporate officer or member of the board of directors of a nonprofit entity may not participate in a vote or decision regarding funding by or through the City for the entity. This subsection does not apply to a City official or employee who:
  - (1) serves as a corporate officer or member of the board of directors of a nonprofit entity that is owned by the City or created by the city council; or
  - (2) as a duty of office or as a job assignment, serves as a corporate officer or member of the board of directors of a nonprofit entity as a representative of the City.
- (C) Where the interest of a City official or employee in the subject matter of a vote or decision is remote or incidental, the City official or employee may participate in the vote or decision and need not disclose the interest.
- (D) Nothing in this chapter shall prohibit the city council from participating in a vote or decision relating to salaries, terms of office or travel budgets of city councilmembers.
- (E) If a member of the city council participates in a vote or decision on a contract for the purchase by the City of any goods or services from a person or entity in which the member has a substantial interest, the contract is voidable by the City.
- (F) A document prepared by the City that solicits bids or proposals from vendors, service providers, or other persons shall provide notice of the provisions of this section.

*Source: 1992 Code Section 2-3-63; Ord. 031204-9; Ord. 031211-11; Ord. 20110428-047.*

#### § 2-7-64 - DISCLOSURE OF CONFLICT OF INTEREST.

- (A) A City official shall disclose the existence of any substantial interest he may have in a natural person, entity or property which would be affected by a vote or decision of the body of which the City official is a member or that he serves as a corporate officer or member of the board of directors of a

nonprofit entity for which a vote or decision regarding funding by or through the City is being considered.

- (B) To comply with this section, a councilmember or unsalaried City official, prior to the vote or decision, either shall file an affidavit as required by Chapter 171 ( *Regulation of Conflicts of Interest of Officers of Municipalities, Counties, and Certain Other Local Governments* ) of the Local Government Code or, if not so required, shall publicly disclose in the official records of the body the nature and extent of such interest.
- (C) To comply with this section, a City employee shall notify in writing his supervisor of any substantial interest he may have in a natural person, entity or property which would be affected by an exercise of discretionary authority by the City employee and a supervisor shall reassign the matter.

*Source: 1992 Code Section 2-3-64; Ord. 031204-9; Ord. 031211-11; Ord. 20110428-047.*

#### § 2-7-65 - SUBSTANTIAL INTEREST OF RELATIVE.

- (A) A substantial interest of a spouse of a City official or employee shall be deemed to apply to that official or employee for the purposes of Sections 2-7-63 ( *Prohibition on Conflict of Interest* ) and 2-7-64 ( *Disclosure of Conflict of Interest* ) concerning disclosure and recusal or reassignment.
- (B) If the spouse of a City official or employee does business through a partnership or other entity, the substantial interests of that partnership or entity shall not be deemed under Section 2-7-61 ( *Conducting Business Through Partnerships, Professional Corporations, and Other Entities* ) to apply to the City official or employee.
- (C) A City official or a City employee may not participate in a vote or decision affecting a substantial interest of a person to whom the official or employee is related in the first or second degree of consanguinity or affinity. This subsection does not apply to a substantial interest of a relative based on the relative's employment by a governmental body.
- (D) For the purposes of Subsection (C): A relative other than a spouse has a substantial interest if:
  - (1) the person owns 10 percent or more of the voting stock or shares of the entity or owns either 10 percent or more or \$15,000 or more of the fair market value of the entity; or
  - (2) funds received by the person from the entity exceed 10 percent of the person's gross income for the previous year; or
  - (3) the person has a substantial interest in real property if the interest is an equitable or legal ownership in real property with a fair market value of \$2,500 or more.

*Source: 1992 Code Section 2-3-65; Ord. 031204-9; Ord. 031211-11; Ord. 20110428-047.*

#### § 2-7-66 - MISUSE OF OFFICIAL INFORMATION.

No former City official or former employee shall use any confidential information to which he had access by virtue of his official capacity and which has not been made public concerning the property, operations, policies, or affairs of the City, to advance any personal financial interest.

*Source: 1992 Code Section 2-3-66; Ord. 031204-9; Ord. 031211-11.*

#### § 2-7-67 - RESTRICTIONS ON PROVIDING REPRESENTATION OF OTHERS.

- (A) For the purpose of this section, the following definitions shall apply unless the context clearly indicates or requires a different meaning.

- (1) BEFORE THE CITY means before the city council, a board or commission, or a City official or employee.
  - (2) CASE, PROJECT OR MATTER means to refer to specific cases, projects or regulatory matters, rather than generic policies, procedures or legislation of general application. For instance, the zoning process or site plan review process is not a "case, project or matter" within the meaning of this section; however, a specific zoning case or site plan would constitute a "case, project or matter" subject to the restrictions imposed in this section. It is not the intent of this chapter, and this chapter shall not be construed, to proscribe the practice of any profession or occupation by former City officials and employees.
  - (3) REPRESENT means all communications with and appearances before the City in which the City is asked to make a decision, as that term is defined in this chapter. The term represent does not include communications and appearances involving only ministerial action on the part of the City.
- (B) A City employee in a position which involves significant decision-making, advisory, or supervisory responsibility, or a City official who leaves the service or employment of the City shall not, within 12 months after leaving that employment or service, represent any other person or entity in any formal or informal appearance, if the City official or employee has received or shall receive remuneration from the person, entity or members of the entity being represented:
- (1) before the City concerning a case, project or matter over which the person exercised discretionary authority as a City employee or official; or
  - (2) before any other agency on a case, project or matter over which the person exercised discretionary authority as a City employee or official.
- (C) A former City employee or official who is subject to the requirements of Subsection (B) shall, during the 24 months after leaving the service or employment of the City, disclose his previous position and responsibilities with the City and the work performed, if any, as a City employee or official regarding the matter for which he is appearing before the City whenever he represents any other person or entity in any formal or informal appearance before the City.
- (D) In any formal or informal appearance before the City, a person representing a person or entity which employs a former City official or employee who had discretionary authority over the project or matter for which the person or entity is appearing before the City shall disclose any former involvement of such former City official or employee in the project or matter. This disclosure requirement shall be in effect for 24 months after the former City official or City employee leaves City service or employment.
- (E) This section shall become effective from and after February 1, 1987. This section shall not apply to persons who left the service or employment of the City prior to February 1, 1987.

*Source: 1992 Code Section 2-3-67; Ord. 031204-9; Ord. 031211-11.*

## ARTICLE 5. - FINANCIAL DISCLOSURE.

### § 2-7-71 - DEFINITIONS.

In this article:

- (1) CITY OFFICIAL means the mayor, members of the city council and their aides, Municipal Court Judges (including Substitute Judges), city manager, Assistant city managers, city clerk, Deputy city clerks, city attorney, Deputy city attorneys, Treasurer, Comptroller, City Auditor, Purchasing Officer, the initial and subsequent commissioners of the Conventions and Visitors Commission, all department heads, deputy department heads, and where no deputy department head serves, the first principal assistant of such department, and spouses of each, and spouses of and the members of the City boards and commissions described in Section 2-7-72(C) ( *Reports* ). City

appointees to other governmental bodies may be required to file financial information statements without being deemed City officials under Section 2-7-2 ( *Definitions* ).

- (2) SPOUSE of a City official includes a domestic partner, which means an individual who lives in the same household and shares common resources of life in a close, personal, intimate relationship with the City official if under Texas law the individual would not be prevented from marrying the City official on account of age, consanguinity, or prior undissolved marriage to another. A domestic partner may be of the same, or opposite, gender as the City official.

*Source: 1992 Code Section 2-3-71; Ord. 031204-9; Ord. 031211-11; Ord. 20071129-011.*

#### § 2-7-72 - REPORTS.

- (A) Not later than April 30 of each year, each City official shall file with the city clerk a public statement of financial information covering January 1 through December 31 of the previous calendar year. Not later than July 31 of each year, the mayor and members of the city council and spouses shall also file with the city clerk an updated statement of financial information which shall cover January 1 through June 30 of the current calendar year. The updated statement shall only include any change in a "substantial interest" or "substantial interest in real property" as defined in Section 2-7-2 ( *Definitions* ) since the last filed statement. For an outgoing mayor or council member who has not been re-elected, not later than the 30th day after the end of a mayor's or council member's term, the mayor or council member shall file with the city clerk a statement of financial information covering January 1 through December 31 of the previous calendar year.
- (B) Any non-elective City officials covered by Section 2-7-71 ( *Definitions* ) who are appointed or hired shall file an initial statement of financial information for the previous calendar year within 30 days of being hired or appointed. Thereafter, such person shall, within the time limits provided by this article, file a statement of financial information for the full appropriate reporting period. However, any salaried City official who resigns or is terminated for any reason shall file with the city clerk a public statement of financial information which shall cover the current year to the date of resignation or termination on or before his last day as a salaried employee. In such event, a salaried employee shall not be required to file a public statement of financial information for the year in which the resignation or termination occurred. He shall, at that time, also file a statement of financial information for the previous year if one has not been submitted prior to the employee's termination date.
- (C) The members of the following boards and commissions shall report the information required by Subsection (E):
  - (1) Arts Commission;
  - (2) Board of Adjustment;
  - (3) Environmental Board;
  - (4) Historic Landmark Commission;
  - (5) Housing Authority of the City of Austin;
  - (6) Parks and Recreation Board;
  - (7) Planning Commission;
  - (8) Public Safety Commission;
  - (9) Zero Waste Advisory Commission;
  - (10) Water and Wastewater Commission;
  - (11) Waterfront Planning Advisory Board;
  - (12) Urban Renewal Agency; and

(13) Zoning and Platting Commission.

- (D) In addition to other required information, the mayor and members of the city council shall report the amount or category of information as designated in Section 2-7-73 ( *Categories* ), for any item reported under Subsection (E)(1), (3), (4), (6), (7), (10), (11) or (12).
- (E) A City official shall include the following information by separate listing in the required statement of financial information, such information to include the source of income or assets and liabilities of their spouses but shall not require a separate report by such official's spouse:
- (1) All sources of occupational income which exceed 10 percent of the official's gross income or \$5,000 in salary, bonuses, commissions or professional fees; or \$20,000 in payment for goods, products or nonprofessional services, excluding the amount but including the name and address of the employer or source of income, and the nature of the occupation or business of each source.
  - (2) If the official is a self-employed solo practitioner, or if the official owns or controls at least a five percent interest in a partnership, professional corporation or other entity through which the official does business, the official shall report the names and addresses of the clients or customers from whom the official, partnership, professional corporation, or other entity received at least 10 percent of its gross income or \$5,000 in salary, bonuses, commissions or professional fees; or \$20,000 in payment for goods, products or nonprofessional services of gross income during the reporting period.
  - (3) An itemized list of all sources of income from interest, dividends, royalties, rents, trust disbursements, or other non-occupational sources, excluding the amount, but identifying the source, for each such source exceeding either 10 percent of the official's gross income or \$5,000.
  - (4) The identification of any person, business entity or other organization from whom the City official reporting has received a gift or favor of any money or other thing of value in excess of \$100, or a series of gifts from the same source during the reporting period the total value of which exceeds \$100, excluding the value of the gift, but including the identification of the source. Excluded from this requirement are campaign contributions which are reported as required by state statute and gifts received from the following relatives:
    - (a) spouse;
    - (b) children;
    - (c) parents;
    - (d) grandchildren;
    - (e) grandparents;
    - (f) brothers;
    - (g) sisters;
    - (h) uncles;
    - (i) aunts;
    - (j) nephews;
    - (k) nieces;
    - (l) first cousins;
    - (m) children-in-law;
    - (n) parents in-law;
    - (o) grandchildren-in-law;

- (p) grandparents-in-law;
  - (q) brothers-in-law;
  - (r) sisters-in-law;
  - (s) uncles-in-law;
  - (t) aunts-in-law;
  - (u) nephews-in-law;
  - (v) nieces-in-law; and
  - (w) first cousins-in-law.
- (5) The name of any corporation, partnership, limited partnership, or other entity in which the official held, owned, acquired, or sold stock or other equity ownership having a value exceeding \$5,000 or equivalent to five percent or more of the stock or equity in the entity.
  - (6) A description, excluding the face amount, of all bonds, notes and other commercial paper which the official held, owned, acquired, or sold at any time during the reporting period if the combined face value of the bond, notes and commercial paper exceeds \$5,000.
  - (7) Any other income or revenue of the official in excess of \$5,000, including a description of sources, but excluding amounts.
  - (8) An itemized list of all real property in which the official holds any legal or beneficial interest, including real property for which the official has entered into a contract for sale, and including a description sufficient to locate the property, stating the state address, if any, and the present use of the property.
  - (9) An itemized list of all real property held, owned, acquired, sold or under contract for sale by a corporation, partnership, limited partnership, professional corporation, or other entity in which the official owns or controls at least a five percent interest, including a description sufficient to locate the property, stating the street address, if any, and the present use of the property.
  - (10) All loans and extensions of credit exceeding \$5,000 on which the official is lender or creditor, excluding the amount of the loan or extension of credit but including the name of the debtor and the rate of interest, if any.
  - (11) All loans or transactions exceeding \$5,000 on which the official is a guarantor or co-signor, excluding the amount of the loan or guarantee, but including the names of the borrower and lender.
  - (12) All loans to, debts of, and other financial liabilities of the official which are in excess of \$5,000 and all loans to, debts of and other financial liabilities of any corporation, partnership, limited partnership, professional corporation or other entity in which the official owns or controls at least five percent interest, which liabilities exceed \$5,000. For all debts, loans and liabilities presently outstanding or which existed at any time during the reporting period, the official shall state when the liability was incurred, the rate of interest being charged, if any, and the name of the lender, creditor or obligee, but not the amount of the liability.
  - (13) All boards of directors of which the official is a member and the offices or executive positions which the official holds in corporations, partnerships, limited partnerships, professional corporations or other entities, including non-business entities, stating for each the name of the entity and the position held. There shall be excluded from this item positions on corporations or other entities owned by the City or created by the city council.
- (F) If, during a reporting period, the mayor or member of the city council has accepted the offer of any trip or excursion from a person or entity other than the City, then he shall report the following to the city clerk before embarking on such a trip or excursion:
- (1) the name of the sponsor;



- (2) the place or places to be visited;
- (3) the purpose of such a trip or excursion; and
- (4) the date and duration of any such trip or excursion.

Within 15 days of return from such a trip or excursion, the mayor or Councilmember shall report to the city clerk the approximate value of such a trip or excursion.

- (G) If any City official or City employee has accepted any item by way of gift or loan on behalf of the City, such gift or loan must be promptly reported to the city manager or his designee who shall have the gift or loan inventoried as City property in the case of a gift, or as a loan to the City in the case of a loan.

*Source: 1992 Code Section 2-3-72; Ord. 031204-9; Ord. 031211-11; Ord. 20071129-011; Ord. 20090618-047; 20090723-097; Ord. 20090827-021; 20120126-049; [Ord. No. 20141211-204, Pt. 25, 7-1-15](#); Ord. No. [20170209-005](#), Pt. 19, 2-20-17.*

#### § 2-7-73 - CATEGORIES.

Where a monetary amount or value of income of an asset is required to be reported by the mayor or members of the city council, the exact amount need not be reported. The statement may instead include the category of amount as follows:

- (A) Category I: \$1 to less than \$10,000;
- (B) Category II: At least \$10,000 but less than \$20,000;
- (C) Category III: At least \$20,000 but less than \$50,000;
- (D) Category IV: At least \$50,000 but less than \$75,000;
- (E) Category V: At least \$75,000 but less than \$100,000; and
- (F) Category VI: \$100,000 or more, report to nearest \$100,000.

*Source: 1992 Code Section 2-3-73; Ord. 031204-9; Ord. 031211-11.*

#### § 2-7-74 - FINANCIAL DISCLOSURE BY CANDIDATES.

- (A) Non-incumbent candidates for election to City offices shall file a public statement of financial information for the previous year with the city clerk within five working days after the deadline for filing for their respective offices. Incumbent candidates for election to City offices shall file a public statement of financial information for the previous year with the city clerk within five working days after the deadline for filing for their respective offices; provided that if such financial statement for the appropriate reporting period has already been filed pursuant to this article, such incumbent candidate shall not be required to refile an identical statement.
- (B) Incumbent and non-incumbent candidates for election to City offices shall file the same information as is required by the mayor and members of the city council under this article.

*Source: 1992 Code Section 2-3-74; Ord. 031204-9; Ord. 031211-11.*

#### § 2-7-75 - SWORN FINANCIAL DISCLOSURE STATEMENTS.

- (A) All public statements of financial information required by this article shall be sworn to and shall constitute public records.

- (B) A statement of financial information may be filed electronically under procedures to be determined by the city clerk. By filing electronically a person required to file a statement of financial information states on oath before the city clerk that the facts stated in the statement of financial information are true to the best of the person's knowledge or belief.
- (C) A statement of financial information that is filed with the city clerk is considered to be under oath by the person required to file the statement regardless of the absence of or defect in the affidavit of verification, including a signature. This subsection applies to a statement of financial information that is filed electronically or otherwise.

*Source: 1992 Code Section 2-3-75; Ord. 031204-9; Ord. 031211-11; Ord. 20060608-013.*

#### § 2-7-76 - FILING DATES FOR STATEMENTS.

Statements required by this article shall be received by the city clerk by 4:45 p.m. on the last day required. When the last day falls on a Saturday or Sunday, or on an official City holiday as established by city council, the deadline for receipt by the city clerk is extended to 4:45 p.m. of the next day which is not a Saturday or Sunday or official City holiday.

*Source: 1992 Code Section 2-3-76; Ord. 031204-9; Ord. 031211-11; Ord. No. [20170209-005](#), Pt. 20, 2-20-17.*

#### § 2-7-77 - FAILURE TO FILE FINANCIAL DISCLOSURE REPORTS.

For provisions concerning the removal of certain City officials for failure to file financial disclosure reports, see Section 2-1-21 ( *Eligibility Requirements and Removal* ).

*Source: 1992 Code Section 2-3-77; Ord. 031204-9; Ord. 031211-11.*

#### § 2-7-99 - OFFENSES; PENALTY.

- (A) A person commits an offense if the person fails to comply with a subpoena under Section 2-7-46 ( *Oaths and Requests for Information* ).
- (B) A person commits an offense if the person violates Section 2-7-66 ( *Misuse of Official Information* ), Section 2-7-67 ( *Restrictions on Providing Representation of Others* ), or Article 5 ( *Financial Disclosure* ) of this Chapter.
- (C) An offense under this section is punishable as a Class C misdemeanor as provided in Section 1-1-99 ( *Offenses; General Penalty* ).
- (D) A culpable mental state is not required, and need not be proved, for an offense under this section.

*Source: 1992 Code Section 2-3-999; Ord. 031204-9; Ord. 031211-11; Ord. 20111110-052; Ord. No. [20170209-005](#), Pt. 21, 2-20-17.*

### ARTICLE 6. - ANTI-LOBBYING AND PROCUREMENT.

#### § 2-7-101 - DEFINITIONS.

In this article:

- (1) AGENT means a person authorized by a respondent to act for or in place of respondent, including a person acting at the request of respondent, a person acting with the knowledge and

consent of a respondent, or a person acting with any arrangement, coordination, or direction between the person and the respondent.

- (2) AUTHORIZED CONTACT PERSON means the person identified in a City solicitation as the contact regarding the solicitation, or the authorized contact person's designee during the course of the no-contact period.
- (3) CITY EMPLOYEE in this article means a person employed by the City.
- (4) CITY OFFICIAL is defined in Section 2-7-2 ( *Definitions* ).
- (5) DIRECTOR means the director of a department to which the purchasing officer has delegated authority for enforcing this Chapter.
- (6) NO-CONTACT PERIOD means the period of time from the date of issuance of the solicitation until a contract is executed. If the City withdraws the solicitation or rejects all responses with the stated intention to reissue the same or similar solicitation for the same or similar project, the no-contact period continues during the time period between the withdrawal and reissue.
- (7) RESPONSE means a response to a solicitation.
- (8) RESPONDENT means a person responding to a City solicitation including a bidder, a quoter, responder, or a proposer. The term "respondent" also includes:
  - (a) an owner, board member, officer, employee, contractor, subsidiary, joint enterprise, partnership, agent, lobbyist, or other representative of a respondent;
  - (b) a person or representative of a person that is involved in a joint venture with the respondent, or a subcontractor in connection with the respondent's response; and
  - (c) a respondent who has withdrawn a response or who has had a response rejected or disqualified by the City.
- (9) REPRESENTATION means a communication related to a response to a council member, official, employee, or City representative that is intended to or that is reasonably likely to:
  - (a) provide information about the response;
  - (b) advance the interests of the respondent;
  - (c) discredit the response of any other respondent;
  - (d) encourage the City to withdraw the solicitation;
  - (e) encourage the City to reject all of the responses;
  - (f) convey a complaint about a particular solicitation; or
  - (g) directly or indirectly ask, influence, or persuade any City official, City employee, or body to favor or oppose, recommend or not recommend, vote for or against, consider or not consider, or take action or refrain from taking action on any vote, decision, or agenda item regarding the solicitation.
- (10) SOLICITATION means an opportunity to compete to conduct business with the City that requires City Council approval under City Charter Article VII Section 15 ( *Purchase Procedure* ).

*Source: Ord. 20071206-045; Ord. 20111110-052.*

#### § 2-7-102 - FINDINGS; PURPOSE; APPLICABILITY.

- (A) The Council finds that persons who enter a competitive process for a city contract voluntarily agree to abide by the terms of the competitive process, including the provisions of this Chapter.
- (B) The Council finds that it is in the City's interest:

- (1) to provide the most fair, equitable, and competitive process possible for selection among potential vendors in order to acquire the best and most competitive goods and services; and
  - (2) to further compliance with State law procurement requirements.
- (C) The Council intends that:
- (1) each response is considered on the same basis as all others; and
  - (2) respondents have equal access to information regarding a solicitation, and the same opportunity to present information regarding the solicitation for consideration by the City.
- (D) A solicitation includes, without limitation, an invitation for bids, a request for proposals, a request for quotations, a request for qualifications, and a notice of funding availability.
- (E) Unless this Article is invoked by Council, this article does not apply to an opportunity to compete for City social service funding; City cultural arts funding; federal, state and City block grant funding; and the sale or rental of real property.
- (F) A representation excludes communication between a City of Austin attorney and a respondent's attorney.

*Source: Ord. 20071206-045; Ord. 20111110-052.*

#### § 2-7-103 - RESTRICTION ON CONTACTS.

- (A) During a no-contact period, a respondent shall make a representation only through the authorized contact person.
- (B) During the no-contact period, a respondent may not make a representation to a City official or to a City employee other than to the authorized contact person. This prohibition also applies to a vendor that makes a representation and then becomes a respondent.
- (C) The prohibition of a representation during the no-contact period applies to a representation initiated by a respondent, and to a representation made in response to a communication initiated by a City official or a City employee other than the authorized contact person.
- (D) If the City withdraws a solicitation or rejects all responses with a stated intention to reissue the same or similar solicitation for the same or similar project, the no-contact period shall expire after the ninetieth day after the date the solicitation is withdrawn or all responses are rejected if the solicitation has not been reissued during the ninety day period.
- (E) For a single vendor award, the no-contact period shall expire when the first of the following occurs: contract is executed or solicitation is cancelled.
- (F) For a multiple vendor award, the no-contact period shall expire when the last of the following occurs: all contracts are executed, negotiations have been fully terminated, or the ninetieth day after the solicitation is cancelled.
- (G) The purchasing officer or the director may allow respondents to make representations to city employees or city representatives in addition to the authorized contact person for a solicitation that the purchasing officer or the director finds must be conducted in an expedited manner; an expedited solicitation is one conducted for reasons of health or safety under the shortest schedule possible with no extensions. The purchasing officer's or director's finding and additional city employees or city representatives who may be contacted must be included in the solicitation documents.
- (H) Representations to an independent contractor hired by the City to conduct or assist with a solicitation will be treated as representations to a City employee.
- (I) A current employee, director, officer, or member of a respondent, or a person related within the first degree of consanguinity or affinity to a current employee, director, officer or member of a respondent, is presumed to be an agent of the respondent for purposes of making a representation.

This presumption is rebuttable by a preponderance of the evidence as determined by the purchasing officer or director.

- (J) A respondent's representative is a person or entity acting on a respondent's behalf with the respondent's request and consent. For example, a respondent may email their membership list and ask members to contact council members on the respondent's behalf. The members are then acting per respondent's request and with their consent, and the members have become respondent representatives.

*Source: Ord. 20071206-045; Ord. 20111110-052.*

#### § 2-7-104 - PERMITTED REPRESENTATIONS.

- (A) If City seeks additional information from respondent, the respondent shall submit the representation in writing only to the authorized contact person. The authorized contact person shall distribute the written representation in accordance with the terms of the particular solicitation. This subsection does not permit a respondent to amend or add information to a response after the response deadline.
- (B) If respondent wishes to send a complaint to the City, the respondent shall submit the complaint in writing only to the authorized contact person. The authorized contact person shall distribute a complaint regarding the process to members of the City council or members of the City board, to the director of the department that issued the solicitation, and to all respondents of the particular solicitation. However, the director or purchasing officer shall not permit distribution of any complaint that promotes or disparages the qualifications of a respondent, or that amends or adds information to a response. A determination of what constitutes promoting or disparaging the qualifications of a respondent or constitutes amending or adding information is at the director's or purchasing officer's sole discretion. Bid protests are not subject to this subsection. Documents related to a bid protest may not be forwarded to council under this subsection.
- (C) If a respondent makes a written inquiry regarding a solicitation, the authorized contact person shall provide a written answer to the inquiry and distribute the inquiry and answer to all respondents of the particular solicitation.
- (D) If a respondent is unable to obtain a response from the authorized contact person, the respondent may contact the director or purchasing officer as appropriate.
- (E) A respondent may ask a purely procedural question, for example a question regarding the time or location of an event, or where information may be obtained, of a City employee other than the authorized contact person. This section does not permit a respondent to make suggestions or complaints about the contract process that constitute a representation to a City employee other than the authorized contact person. Notwithstanding this subsection, a respondent may not ask a procedural question of a councilmember, a councilmember's aide, or of a City board member except in a meeting held under the Texas Government Code, Chapter 551 ( *Open Meetings Act* ).
- (F) This Article allows representations:
  - (1) made at a meeting convened by the authorized contact person, including meetings to evaluate responses or negotiate a contract;
  - (2) required by Financial Services Department protest procedures for vendors;
  - (3) made at a Financial Services Department protest hearing;
  - (4) provided to the Small & Minority Business Resources Department in order to obtain compliance with Chapter 2-9A-D ( *the Minority-Owned and Women-Owned Business Enterprise Procurement Program* );
  - (5) made to the City Risk Management coordinator about insurance requirements for a solicitation;

- (6) made in public at a meeting held under Texas Government Code, Chapter 551 ( *Open Meetings Act* ); or
- (7) made from a respondent's attorney to an attorney in the Law Department in compliance with Texas Disciplinary Rules of Professional Conduct.
- (G) Nothing in this article prohibits communication regarding the solicitation between or among City officials or City employees acting in their official capacity.
- (H) A contribution or expenditure as defined in Chapter 2-2 ( *Campaign Finance* ) is not a representation.

*Source: Ord. 20071206-045; Ord. 20111110-052.*

#### § 2-7-105 - NOTICE.

- (A) An employee preparing a solicitation shall include a notice in the solicitation that advises respondents of the requirements of this article, including a notice that if any City official or City employee, other than the authorized contact person, approaches a respondent for response or solicitation information during the no-contact period, the respondent is at jeopardy if he or she makes any representation in response.
- (B) The authorized contact person for that solicitation shall notify council members in writing that the no-contact period for that solicitation is in effect.
- (C) When a solicitation is issued that will be reviewed by a City board, the authorized contact person for that solicitation shall notify in writing each member of the board that the no-contact period for that solicitation is in effect.

*Source: Ord. 20071206-045; Ord. 20111110-052.*

#### § 2-7-106 - DISCLOSURE OF PROHIBITED REPRESENTATION.

- (A) If a City official or City employee receives a representation during the no-contact period for a solicitation, the official or employee shall notify in writing the authorized contact person for that solicitation as soon as practicable.
- (B) During the no-contact period, a City official or City employee, except for the authorized contact person, shall not solicit a representation from a respondent.

*Source: Ord. 20071206-045; Ord. 20111110-052.*

#### § 2-7-107 - ENFORCEMENT.

- (A) A respondent that makes a prohibited representation violates this article. If the authorized contact person for a solicitation is informed, or receives information, that a respondent has made a prohibited representation during the no-contact period, the authorized contact person shall document the representation and notify the director or purchasing officer immediately.
- (B) If the director or purchasing officer finds that a respondent has violated this article, the respondent is disqualified.
- (C) If a respondent is disqualified for a solicitation and the solicitation is withdrawn or if all responses are rejected, the respondent is disqualified for a reissue of the same or similar solicitation for the same or similar project. Section 2-7-103(D) does not limit the duration of the disqualification. The director or purchasing officer may determine what constitutes a "same or similar" project for purposes of this subsection.



(D) The Financial Services Department and a department to which the purchasing officer has delegated purchasing authority shall adopt rules to administer and enforce this article. The rules must include the provision of written notice of disqualification to the respondent and a process to protest a disqualification.

(E) This article is not subject to enforcement by the Ethics Review Commission.

*Source: Ord. 20071206-045; Ord. 20111110-052.*

§ 2-7-108 - CONTRACT VOIDABLE.

If a contract is awarded to a respondent who has violated this article, the contract is voidable by the City.

*Source: Ord. 20071206-045.*

§ 2-7-109 - DEBARMENT.

(A) If a respondent has been disqualified under this article more than two times in a sixty month period, the purchasing officer shall debar a respondent from the sale of goods or services to the City for a period not to exceed three years, provided the respondent is given written notice and a hearing in advance of the debarment.

(B) The Financial Services Department and any department to which the purchasing officer has delegated authority for enforcing this article shall adopt rules to administer and enforce this section. The rules must include a hearing process with written notice to the respondent.

*Source: Ord. 20071206-045; Ord. 20111110-052.*

§ 2-7-110 - NO CRIMINAL PENALTY.

Section 1-1-99 does not apply to this article.

*Source: Ord. 20071206-045.*

§ 2-7-111 - DIRECTOR DISCRETION.

A director has the discretion to apply this Article to any other competitive process not covered by this Article.

*Source: Ord. 20111110-052.*

## INTERVIEW MEMORANDUM

|                |                                          |           |            |
|----------------|------------------------------------------|-----------|------------|
| INTERVIEWEE(S) | Steve Adler, Mayor, City of Austin       |           |            |
| CAIU STAFF     | Travis Casner (HSSK), Sonia Desai (HSSK) |           |            |
| LOCATION       | City Hall                                | Date/Time | 06-01-2018 |

On June 1, 2018, Travis Casner (HSSK) and Sonia Desai (HSSK) conducted a witness interview with Steve Adler, Mayor for the City of Austin, at City Hall. The purpose was to interview Mayor Adler about the allegations of a conflict of interest against Frank Rodriguez (former LHCF CEO/Executive Director). The following was determined:

## CONCLUSION:

- Mayor Adler has known Rodriguez since at least 2014 when Rodriguez was Chair of the Quality of Life Commission, just prior to Rodriguez joining the Mayor's Office as a Senior Policy Advisor in 2015.
- Rodriguez's responsibilities were to advise Mayor Adler, represent the office and help Mayor Adler have reach into various communities.
- Rodriguez did not disclose to Mayor Adler that he received compensation from the LHCF for consulting services while working in the Mayor's Office. Mayor Adler does not know if Rodriguez disclosed this information to other members of his staff including Lesley Varghese or John-Michael Cortez.
- Rodriguez disclosed to Mayor Adler that [REDACTED] Linda Smith, was employed by the LHCF.
- Mayor Adler indicated that it would not surprise him if Rodriguez was helping to draft proposals for the LHCF for ACA enrollment because Rodriguez was an advocate for ACA enrollment and his job was to help organizations that support their program / agenda as long as he was not selecting the vendor.
- Mayor Adler never had discussions with Rodriguez concerning his Statements of Financial Information filed with the City and was unaware whether any member of his staff had discussions with Rodriguez concerning this information.

## DETAIL:

## BACKGROUND

Mayor Adler has known Rodriguez since 2014 when Rodriguez served as the Chair of the Hispanic/Latino Quality of Life Resource Commission. Rodriguez joined Mayor Adler's staff in 2015 as he was trying to put together a team of people who

had knowledge and access to various communities. Rodriguez's responsibilities were to advise Mayor Adler, represent the office and help Mayor Adler have reach into various communities.

#### **LATINO HEALTHCARE FORUM**

Mayor Adler was aware that Rodriguez previously served as the Executive Director of the LHCF. Mayor Adler was also aware that [REDACTED] Linda Smith, was employed by the LHCF during the time that Rodriguez worked in the Mayor's Office.

Mayor Adler indicated that Rodriguez helped the Mayor learn about issues around enrollment into Obamacare. Mayor Adler knew that the LHCF was one of the entities that did work related to ACA enrollment. Mayor Adler recalls that Rodriguez advocated for ACA enrollment but the Mayor's Office never advocated for any specific vendor to perform the work. According to Mayor Adler, the City staff (e.g., Health and Human Services Department) is responsible for selecting the people who are awarded the contracts.

Mayor Adler also indicated that it would not surprise him if Rodriguez had helped to draft proposals for the LHCF for ACA enrollment because part of his job was to help community organizations and facilitate the process. According to Adler, his staff would advocate for providers that support their program / agenda as long as the Mayor's Office wasn't selecting the vendor, which they did not do.

Mayor Adler indicated that Rodriguez did not disclose to him that he received compensation from the LHCF for consulting services while working in the Mayor's Office, although he does not have knowledge as to whether Rodriguez disclosed this information to his Chief of Staff, Lesley Varghese, or Special Assistant, John-Michael Cortez.

#### **STATEMENTS OF FINANCIAL INFORMATION**

Mayor Adler indicated that he never had discussions with Rodriguez concerning his Statements of Financial Information filed with the City and was unaware whether any member of his staff had discussions with Rodriguez concerning this information.

## INTERVIEW MEMORANDUM

|                |                                                 |           |            |
|----------------|-------------------------------------------------|-----------|------------|
| INTERVIEWEE(S) | Chief of Staff (Mayor's Office), City of Austin |           |            |
| CAIU STAFF     | Travis Casner (HSSK)                            |           |            |
| LOCATION       | City Hall                                       | Date/Time | 06-05-2018 |

On June 5, 2018, Travis Casner (HSSK) conducted a witness interview with the Chief of Staff for Mayor Adler, at City Hall. The purpose was to interview the Chief of Staff about the allegations of a conflict of interest against Frank Rodriguez (former LHCF CEO/Executive Director). The following was determined:

## CONCLUSION:

- Interviewee became Chief of Staff for Mayor Adler in or around the May/June 2016 time period, approximately one year after Mr. Rodriguez began his tenure as a Senior Policy Advisor for Mayor Adler.
- Rodriguez did not disclose to the Chief of Staff that he received compensation from the LHCF for consulting services while working in the Mayor's Office.
- The Chief of Staff had discussions with Rodriguez regarding his Statements of Financial Information and during a review of Rodriguez's 2016 Statement of Financial Information assumed that the compensation disclosed for the LHCF related to [REDACTED] Linda Smith.
- Rodriguez indicated to the Chief of Staff that none of the compensation disclosed on the Statements of Financial Information related to the LHCF came from contracts with the City.
- The Chief of Staff had subsequent conversation with Rodriguez regarding a supplemental disclosure for local government officers under the Texas Local Government Code. According to the Chief of Staff, Rodriguez disclosed that he had received some payments from the LHCF related to expense reimbursements.
- Rodriguez reached out to the Chief of Staff seeking guidance on potential conflicts of interest in early 2017. Subsequently, the Chief of Staff had a phone conversation with the City Attorney's Office relaying the information provided by Rodriguez regarding the LHCF.
- The Chief of Staff indicated that the information provided to the City Attorney's Office did not include the compensation that Rodriguez received from the LHCF for consulting services while working for the City because the information was not known at that time.
- The Chief of Staff recalls that the City Attorney's Office prepared a memorandum offering guidance on Rodriguez's conflict of interest questions in or around March 2017 based on the information provided by the Chief of Staff. The Chief of Staff also recalls that there were some issues that were not addressed in the memorandum and Rodriguez

met with the City Attorney's Office on at least two occasions to further discuss the issues concerning Rodriguez and the LHCF.

## DETAIL:

### BACKGROUND

Interviewee currently serves as the Chief of Staff for Mayor Adler, a position the interviewee has held since around May or June of 2016, approximately one year after Mr. Rodriguez began his tenure as a Senior Policy Advisor for Mayor Adler. The Chief of Staff worked with Rodriguez to implement the Mayor's policies and initiatives and recalls that Rodriguez's role as a Senior Policy Advisor included advising Mayor Adler on issues concerning the arts, music, health and the Latino Community, as well as on budget issues.

### LATINO HEALTHCARE FORUM

The Chief of Staff was aware that Rodriguez previously served as the Executive Director of the LHCF, although it was not something that was formerly disclosed. The Chief of Staff was also aware that [REDACTED] Linda Smith, was employed by the LHCF during the time that Rodriguez worked in the Mayor's Office.

The Chief of Staff does not recall any specific instances in which Mr. Rodriguez helped to secure contracts for the LHCF but does recall instances in which Rodriguez provided advice to different organizations for partnering with the City including small grassroots organizations, and not specifically limited to the LHCF. The Chief of Staff also indicated that the Mayor's Office would not have been working on securing contracts with a vendor as that work was done outside the Mayor's Office such as by Health and Human Services Department staff.

Rodriguez did not disclose to the Chief of Staff that he received compensation from the LHCF for consulting services in 2016 when the interviewee was Chief of Staff and Rodriguez was a Senior Policy Advisor.

### STATEMENTS OF FINANCIAL INFORMATION

The Chief of Staff recalls having at least one conversation with Rodriguez related to his Statements of Financial Information that were filed with the City Clerk. The Chief of Staff indicated that when discussing the 2016 Statement of Financial Information filed by Rodriguez on behalf of he and [REDACTED], the Chief of Staff assumed that the compensation disclosed for the LHCF related to Linda Smith's employment. It was not disclosed to the Chief of Staff that the reported compensation from the LHCF was for Rodriguez and [REDACTED]. The Chief of Staff also indicated that Rodriguez stated that none of the compensation disclosed on the Statements of Financial Information related to the LHCF came from contracts with the City.

### GUIDANCE FROM CITY ATTORNEY'S OFFICE

Rodriguez reached out to the Chief of Staff seeking guidance on potential conflicts of interest in early 2017. Subsequently, the Chief of Staff had a phone conversation with the City Attorney's Office regarding the information provided by Rodriguez and the circumstances concerning his involvement with the LHCF. According to the Chief of Staff, the information provided to the City Attorney's Office did not include the compensation that Rodriguez received from the LHCF for consulting services while working for the City because the information was not known at that time.

The Chief of Staff recalls that the City Attorney's Office prepared a memorandum offering guidance on Rodriguez's conflict of interest questions in or around March 2017 based on the information provided by the Chief of Staff. The Chief of Staff also recalls that there were some issues that were not addressed in the memorandum and that the City Attorney's Office and Rodriguez met in person on at least two occasions to further discuss the issues concerning Rodriguez and the LHCF. The Chief of Staff was not a participant in these discussions.

The Chief of Staff indicated that Rodriguez filed a supplemental disclosure for local government officers in addition to the Statement of Financial Information, although the Chief of Staff believe that Rodriguez was not required to do so as he did not meet the criteria as a government officer. The Chief of Staff recalls a conversation with Rodriguez regarding his Local Government Officers Conflict Disclosure in which Rodriguez discussed receiving some payments from the LHCF related to expense reimbursements. Rodriguez never disclosed to the Chief of Staff that he received payments for consulting services from the LHCF while working in the Mayor's Office.



## INTERVIEW MEMORANDUM

|                |                                          |           |            |
|----------------|------------------------------------------|-----------|------------|
| INTERVIEWEE(S) | Former Chief of Staff, City of Austin    |           |            |
| CAIU STAFF     | Travis Casner (HSSK), Sonia Desai (HSSK) |           |            |
| LOCATION       | City Hall                                | Date/Time | 06-01-2018 |

On June 1, 2018, Travis Casner (HSSK) and Sonia Desai (HSSK) conducted a witness interview with the Special Assistant to the Mayor for the City of Austin and former Chief of Staff ("Former Chief of Staff"), at City Hall. The purpose was to interview the Former Chief of Staff about the allegations of a conflict of interest against Frank Rodriguez (former LHCF CEO/Executive Director). The following was determined:

## CONCLUSION:

- Interviewee is a Special Assistant to Mayor Adler and previously served as Chief of Staff for Mayor Adler.
- Interviewee was Chief of Staff for Mayor Adler when Rodriguez joined the Mayor's Office and was technically Rodriguez's supervisor.
- Former Chief of Staff's role as Rodriguez's supervisor was mostly administrative in nature and related to HR issues since most of the staff in the Mayor's office was senior.
- Rodriguez's responsibilities were to advise Mayor Adler on budget issues, administrative functions of the City, on music/culture, Hispanic quality of life, utility issues and healthcare.
- Rodriguez did not disclose to the Former Chief of Staff that he received compensation from the LHCF for consulting services while working in the Mayor's Office.
- The Former Chief of Staff was aware that [REDACTED], Linda Smith, was employed by the LHCF.
- The Former Chief of Staff was not aware of any work that Rodriguez did related to the LHCF other than at a program level rather than a vendor specific level.
- The Former Chief of Staff never had discussions with Rodriguez concerning his Statements of Financial Information filed with the City other than making sure all of the staff members submitted them.

**DETAIL:****BACKGROUND**

Interviewee served as the Chief of Staff for Mayor Adler and transitioned to current role as a Special Assistant to Mayor Adler. The Former Chief of Staff was Rodriguez's supervisor but it was more of a technicality as the Mayor's Office has a flat structure. In addition, the staff was very senior and required little supervision and most of his responsibilities were administrative as far as supervising. The Former Chief of Staff was responsible for holding people accountable for fulfilling the Mayor's agenda. Rodriguez's responsibilities were to advise Mayor Adler on budget issues, administrative functions of the city, music/culture, Hispanic quality of life, utility issues and healthcare.

**LATINO HEALTHCARE FORUM**

The Former Chief of Staff was aware that Rodriguez previously served as the Executive Director of the LHCF and was also aware that [REDACTED] Linda Smith, was employed by the LHCF during the time that Rodriguez worked in the Mayor's Office.

The Former Chief of Staff recalls that Rodriguez worked on program funding for ACA enrollment but nothing that was vendor specific.

Rodriguez did not disclose to the Former Chief of Staff that he received compensation from the LHCF for consulting services while working in the Mayor's Office.

**STATEMENTS OF FINANCIAL INFORMATION**

The Former Chief of Staff never had discussions with Rodriguez concerning his Statements of Financial Information other than making sure the forms were filed with the City Clerk.

## STATEMENT OF FINANCIAL INFORMATION

This Statement is made for the reporting period: **January 1 through December 31, 2016.**

## FINANCIAL DISCLOURE

**Submit Date: 01-May-2017**

---

**Personal Information**

**Name:** Rodriguez, Frank M

**Address:**

PO Box 1271

Austin, TX 78767

**Occupation:** Senior Policy Advisor

---

[REDACTED]

**Name:** [REDACTED]

**Address:**

[REDACTED]

[REDACTED]

**Occupation:** [REDACTED]

---

- 1 List all sources of occupational income that exceeded 10% of your gross income or \$5,000 in salary, bonuses, commissions or professional fees, or \$20,000 in payment for goods, products or non-professional services per source.**

|   | <b>Name of employer or source of income</b> | <b>Business address</b>           | <b>Nature of occupation or business</b> |
|---|---------------------------------------------|-----------------------------------|-----------------------------------------|
| 1 | City of Austin                              | P.O.Box 1088, Austin              | Local Government                        |
| 2 | Latino HealthCare Forum                     | 6601 Felix St. Austin Texas 78741 | Health services                         |

---

- 2 If you are a self-employed solo practitioner or if you had at least 5% interest in a partnership, professional corporation or other entity through which you do business, list the names and addresses of clients or customers from whom you or this partnership, professional corporation, or entity received 10% or more of gross income or \$5,000 in salary, bonuses, commissions or professional fees; or \$20,000 in payment for goods, products or non-professional services during the reporting period.**

|                            |         |
|----------------------------|---------|
| Name of client or customer | Address |
|----------------------------|---------|

N/A

- 
- 3 . List all sources of income which exceeded either \$5,000 or were in excess of 10% of your gross income received from interest, dividends, royalties, rents, trust disbursements or other non-occupational sources.**

|   | Name of source                  | Nature of income |
|---|---------------------------------|------------------|
| 1 | Pedernales Electric Cooperative | Annual Pension   |

- 
- 4 Identify any source (person, business entity or other organization) of a gift of any money or other thing of value exceeding \$100 or identify any source who gave you a series of gifts the total value of which exceeds \$100. You need not report campaign contributions which are reported as required by other law and you need not report gifts received from the following relatives: Spouse, Children, Children-in-law, Parents, Parents-in-Law, Grandchildren, Grandchildren-in-Law, Grandparents, Grandparents-in-Law, Brothers, Brothers-in-Law, Sisters, Sisters-in-Law, Uncles, Uncles-in-Law, Aunts, Aunts-in-Law, Nephews, Nephews-in-Law, Nieces, Nieces-in-Law, First Cousins, or First Cousins-in-Law.**

|                        |
|------------------------|
| Name of source of gift |
|------------------------|

N/A

- 
- 5 List the names of any corporation, partnership, limited partnership, or other entity in which you held, owned, acquired, or sold stock, or any other equity ownership having a value exceeding \$5,000 or equivalent to 5% or more of the stock or equity in the entity, at any time during the reporting period.**

|                           |
|---------------------------|
| Name of company or entity |
|---------------------------|

N/A

- 
- 6 . List and describe all bonds, notes and other commercial paper which you held, owned, acquired or sold at any time during the reporting period if the combined face value of the bonds, notes and commercial paper exceeded \$5,000.**

|                                 |
|---------------------------------|
| Description of commercial paper |
|---------------------------------|

N/A

---

**7 . List all other income or revenue in excess of \$5,000 per source.**

|                |
|----------------|
| Name of source |
|----------------|

N/A

---

**8 List and describe all real property in which you hold any legal or beneficial interest including real property for which you have entered a contract for sale. The description should be sufficient to locate the property, and include the street address, if any, and the present use of the property.**

|   | Street address of property | Description of property | Present use of property |
|---|----------------------------|-------------------------|-------------------------|
| 1 | <div></div>                | 5 acre ranch            | Residence               |

---

**9 List and describe all real property held, owned, acquired or sold, or under a contract for sale by a corporation, partnership, limited partnership, professional corporation or other entity in which you own or control at least a 5% interest. The description should be sufficient to locate the property and include a street address, if any, and the present use of the property.**

| Street address of property | Description of property | Present use of property |
|----------------------------|-------------------------|-------------------------|
|----------------------------|-------------------------|-------------------------|

N/A

---

**10 . List all loans and extensions of credit in excess of \$5,000 on which you are the lender or creditor, including the name of the debtor and the rate of interest, if any.**

|                 |                          |
|-----------------|--------------------------|
| Name of obligee | Rate of interest, if any |
|-----------------|--------------------------|

N/A

---

**11 . List all loans or transactions in excess of \$5,000 on which you are a guarantor or co-**

signer including the names of the borrower and lender.

| Name of obligee/lender | Rate of interest, if any |
|------------------------|--------------------------|
|------------------------|--------------------------|

N/A

- 
- 12 List all loans, debts, and other financial liabilities you have which are in excess of \$5,000 which are presently outstanding or which existed at any time during the reporting period.**

| Name of lender/creditor/obligee | Rate of interest, if any | Date obligation was incurred |
|---------------------------------|--------------------------|------------------------------|
|---------------------------------|--------------------------|------------------------------|

N/A

---

**List all loans, debts, and other financial liabilities in excess of \$5,000 of any corporation, partnership, limited partnership, professional corporation or other entity in which you own or control at least a 5% interest which are presently outstanding or which existed at any time during the reporting period.**

| Name of lender/creditor/obligee | Rate of interest, if any | Date obligation was incurred |
|---------------------------------|--------------------------|------------------------------|
|---------------------------------|--------------------------|------------------------------|

N/A

- 
- 13 List all boards of directors of which you are a member and the offices or executive positions which you hold in corporations, partnerships, limited partnerships, professional corporations, or other entities, including non-business entities. ( Do not include positions on corporations or other entities owned by the City of Austin or created by the City Council. )**

|   | Name of organization | Position held |
|---|----------------------|---------------|
| 1 | SIMS Foundation      | Board member  |

---

**Electronic Certification by Affidavit**



I swear or affirm, under penalty of perjury, that the facts stated in the above Statement of Financial Information are true to the best of my knowledge or belief and the Statement fully shows all information required to be reported by me pursuant to section [2-7-72](#) of the City Code for the reporting period indicated.

This electronically submitted Statement of Financial Information is considered to be under oath by the person required to file the Statement regardless of the absence of or defect on the affidavit of verification, including the signature.

I, **Rodriguez, Frank M**, hereby swear of affirm that I have completed the Statement of Financial Information on **May 01, 2017**.

## STATEMENT OF FINANCIAL INFORMATION

This Statement is made for the reporting period: **January 1 through December 31, 2015.**

### FINANCIAL DISCLOURE

**Submit Date: 29-Apr-2016**

---

#### **Personal Information**

**Name:** Rodriguez, Frank

**Address:**

[REDACTED]  
[REDACTED]

**Occupation:** Senior Policy Advisor

---

[REDACTED]

**Name:** [REDACTED]

**Address:**

[REDACTED]  
[REDACTED]

**Occupation:** [REDACTED]

---

- 1 List all sources of occupational income that exceeded 10% of your gross income or \$5,000 in salary, bonuses, commissions or professional fees, or \$20,000 in payment for goods, products or non-professional services per source.**

|   | <b>Name of employer or source of income</b> | <b>Business address</b> | <b>Nature of occupation or business</b> |
|---|---------------------------------------------|-------------------------|-----------------------------------------|
| 1 | City of Austin                              | P.O.Box 1088, Austin    | Local Government                        |
| 2 | LHCF                                        | 6601 Felix Ave.         | Nonprofit                               |

---

- 2 If you are a self-employed solo practitioner or if you had at least 5% interest in a partnership, professional corporation or other entity through which you do business, list the names and addresses of clients or customers from whom you or this partnership, professional corporation, or entity received 10% or more of gross income or \$5,000 in salary, bonuses, commissions or professional fees; or \$20,000 in payment for goods, products or non-professional services during the reporting period.**

|                            |         |
|----------------------------|---------|
| Name of client or customer | Address |
|----------------------------|---------|

N/A

- 
- 3 . List all sources of income which exceeded either \$5,000 or were in excess of 10% of your gross income received from interest, dividends, royalties, rents, trust disbursements or other non-occupational sources.**

|                |                  |
|----------------|------------------|
| Name of source | Nature of income |
|----------------|------------------|

N/A

- 
- 4 Identify any source (person, business entity or other organization) of a gift of any money or other thing of value exceeding \$100 or identify any source who gave you a series of gifts the total value of which exceeds \$100. You need not report campaign contributions which are reported as required by other law and you need not report gifts received from the following relatives: Spouse, Children, Children-in-law, Parents, Parents-in-Law, Grandchildren, Grandchildren-in-Law, Grandparents, Grandparents-in-Law, Brothers, Brothers-in-Law, Sisters, Sisters-in-Law, Uncles, Uncles-in-Law, Aunts, Aunts-in-Law, Nephews, Nephews-in-Law, Nieces, Nieces-in-Law, First Cousins, or First Cousins-in-Law.**

|                        |
|------------------------|
| Name of source of gift |
|------------------------|

N/A

- 
- 5 List the names of any corporation, partnership, limited partnership, or other entity in which you held, owned, acquired, or sold stock, or any other equity ownership having a value exceeding \$5,000 or equivalent to 5% or more of the stock or equity in the entity, at any time during the reporting period.**

|                           |
|---------------------------|
| Name of company or entity |
|---------------------------|

N/A

- 
- 6 . List and describe all bonds, notes and other commercial paper which you held, owned, acquired or sold at any time during the reporting period if the combined face value of the bonds, notes and commercial paper exceeded \$5,000.**

|                                 |
|---------------------------------|
| Description of commercial paper |
|---------------------------------|

N/A

---

**7 . List all other income or revenue in excess of \$5,000 per source.**

|                |
|----------------|
| Name of source |
|----------------|

N/A

---

**8 List and describe all real property in which you hold any legal or beneficial interest . including real property for which you have entered a contract for sale. The description should be sufficient to locate the property, and include the street address, if any, and the present use of the property.**

| Street address of property | Description of property | Present use of property |
|----------------------------|-------------------------|-------------------------|
|----------------------------|-------------------------|-------------------------|

N/A

---

**9 List and describe all real property held, owned, acquired or sold, or under a contract . for sale by a corporation, partnership, limited partnership, professional corporation or other entity in which you own or control at least a 5% interest. The description should be sufficient to locate the property and include a street address, if any, and the present use of the property.**

| Street address of property | Description of property | Present use of property |
|----------------------------|-------------------------|-------------------------|
|----------------------------|-------------------------|-------------------------|

N/A

---

**10 . List all loans and extensions of credit in excess of \$5,000 on which you are the lender or creditor, including the name of the debtor and the rate of interest, if any.**

| Name of obligee | Rate of interest, if any |
|-----------------|--------------------------|
|-----------------|--------------------------|

N/A

- 
- 11 . List all loans or transactions in excess of \$5,000 on which you are a guarantor or co-signer including the names of the borrower and lender.**

| Name of obligee/lender | Rate of interest, if any |
|------------------------|--------------------------|
|------------------------|--------------------------|

N/A

- 
- 12 List all loans, debts, and other financial liabilities you have which are in excess of \$5,000 which are presently outstanding or which existed at any time during the reporting period.**

| Name of lender/creditor/obligee | Rate of interest, if any | Date obligation was incurred |
|---------------------------------|--------------------------|------------------------------|
|---------------------------------|--------------------------|------------------------------|

N/A

---

**List all loans, debts, and other financial liabilities in excess of \$5,000 of any corporation, partnership, limited partnership, professional corporation or other entity in which you own or control at least a 5% interest which are presently outstanding or which existed at any time during the reporting period.**

| Name of lender/creditor/obligee | Rate of interest, if any | Date obligation was incurred |
|---------------------------------|--------------------------|------------------------------|
|---------------------------------|--------------------------|------------------------------|

N/A

- 
- 13 List all boards of directors of which you are a member and the offices or executive positions which you hold in corporations, partnerships, limited partnerships, professional corporations, or other entities, including non-business entities. ( Do not include positions on corporations or other entities owned by the City of Austin or created by the City Council. )**

| Name of organization | Position held |
|----------------------|---------------|
|----------------------|---------------|

N/A

---

### **Electronic Certification by Affidavit**

I swear or affirm, under penalty of perjury, that the facts stated in the above Statement of Financial Information are true to the best of my knowledge or belief and the Statement fully shows all information required to be reported by me pursuant to section [2-7-72](#) of the City Code for the reporting period indicated.

This electronically submitted Statement of Financial Information is considered to be under oath by the person required to file the Statement regardless of the absence of or defect on the affidavit of verification, including the signature.

I, **Rodriguez, Frank**, hereby swear of affirm that I have completed the Statement of Financial Information on **April 29, 2016**.



# LOCAL GOVERNMENT OFFICER CONFLICTS DISCLOSURE STATEMENT

FORM CIS

(Instructions for completing and filing this form are provided on the next page.)

This questionnaire reflects changes made to the law by H.B. 23, 84th Leg., Regular Session.

This is the notice to the appropriate local governmental entity that the following local government officer has become aware of facts that require the officer to file this statement in accordance with Chapter 176, Local Government Code.

## OFFICE USE ONLY

Date Received

2017 MAR 28 AM 11:53

AUSTIN CITY CLERK  
RECEIVED

1 Name of Local Government Officer

FRANK RODRIGUEZ

2 Office Held (CURRENT)

SENIOR POLICY ADVISOR, MAYOR'S OFFICE

(FORMER)

BOARD MEMBER, HISPANIC QUALITY OF LIFE

3 Name of vendor described by Sections 176.001(7) and 176.003(a), Local Government Code

LATINO HEALTHCARE FORUM

4 Description of the nature and extent of each employment or other business relationship and each family relationship with vendor named in item 3. I do not make recommendations regarding vendors. Out of an abundance of caution I am filing this statement because a family member receives tax deduction from the city vendor.

5 List gifts accepted by the local government officer and any family member, if aggregate value of the gifts accepted from vendor named in item 3 exceeds \$100 during the 12-month period described by Section 176.003(a)(2)(B).

Date Gift Accepted — 0 — Description of Gift \_\_\_\_\_

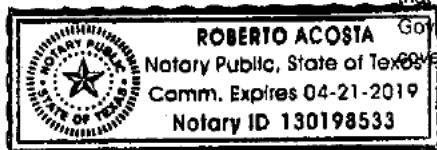
Date Gift Accepted \_\_\_\_\_ Description of Gift \_\_\_\_\_

Date Gift Accepted \_\_\_\_\_ Description of Gift \_\_\_\_\_

(attach additional forms as necessary)

## 6 AFFIDAVIT

I swear under penalty of perjury that the above statement is true and correct. I acknowledge that the disclosure applies to each family member (as defined by Section 176.001(2), Local Government Code) of this local government officer. I also acknowledge that this statement covers the 12-month period described by Section 176.003(a)(2)(B), Local Government Code.



*[Signature]*  
Signature of Local Government Officer

AFFIX NOTARY STAMP / SEAL ABOVE

Sworn to and subscribed before me, by the said FRANK RODRIGUEZ, this the 28TH day of MARCH, 20 17, to certify which, witness my hand and seal of office.

*[Signature]*  
Signature of officer administering oath

ROBERTO ACOSTA  
Printed name of officer administering oath

NOTARY PUBLIC  
Title of officer administering oath

## LOCAL GOVERNMENT OFFICER CONFLICTS DISCLOSURE STATEMENT

Section 176.003 of the Local Government Code requires certain local government officers to file this form. A "local government officer" is defined as a member of the governing body of a local governmental entity; a director, superintendent, administrator, president, or other person designated as the executive officer of a local governmental entity; or an agent of a local governmental entity who exercises discretion in the planning, recommending, selecting, or contracting of a vendor. This form is required to be filed with the records administrator of the local governmental entity not later than 5 p.m. on the seventh business day after the date on which the officer becomes aware of the facts that require the filing of this statement.

A local government officer commits an offense if the officer knowingly violates Section 176.003, Local Government Code. An offense under this section is a misdemeanor.

Refer to chapter 176 of the Local Government Code for detailed information regarding the requirement to file this form.

### INSTRUCTIONS FOR COMPLETING THIS FORM

*The following numbers correspond to the numbered boxes on the other side.*

- 1. Name of Local Government Officer.** Enter the name of the local government officer filing this statement.
- 2. Office Held.** Enter the name of the office held by the local government officer filing this statement.
- 3. Name of vendor described by Sections 176.001(7) and 176.003(a), Local Government Code.** Enter the name of the vendor described by Section 176.001(7), Local Government Code, if the vendor: a) has an employment or other business relationship with the local government officer or a family member of the officer as described by Section 176.003(a)(2)(A), Local Government Code; b) has given to the local government officer or a family member of the officer one or more gifts as described by Section 176.003(a)(2)(B), Local Government Code; or c) has a family relationship with the local government officer as defined by Section 176.001(2-a), Local Government Code.
- 4. Description of the nature and extent of each employment or other business relationship and each family relationship with vendor named in item 3.** Describe the nature and extent of the employment or other business relationship the vendor has with the local government officer or a family member of the officer as described by Section 176.003(a)(2)(A), Local Government Code, and each family relationship the vendor has with the local government officer as defined by Section 176.001(2-a), Local Government Code.
- 5. List gifts accepted, if the aggregate value of the gifts accepted from vendor named in item 3 exceeds \$100.** List gifts accepted during the 12-month period (described by Section 176.003(a)(2)(B), Local Government Code) by the local government officer or family member of the officer from the vendor named in item 3 that in the aggregate exceed \$100 in value.
- 6. Affidavit.** Signature of local government officer.

**Local Government Code § 176.001(2-a):** "Family relationship" means a relationship between a person and another person within the third degree by consanguinity or the second degree by affinity, as those terms are defined by Subchapter B, Chapter 573, Government Code.

**Local Government Code § 176.003(a)(2)(A):**

- (a) A local government officer shall file a conflicts disclosure statement with respect to a vendor if:

\*\*\*  
(2) the vendor:

(A) has an employment or other business relationship with the local government officer or a family member of the officer that results in the officer or family member receiving taxable income, other than investment income, that exceeds \$2,500 during the 12-month period preceding the date that the officer becomes aware that:

- (i) a contract between the local governmental entity and vendor has been executed; or
- (ii) the local governmental entity is considering entering into a contract with the vendor.

From: Robert Kingham >

Exhibit 55

RK

To: Frank Rodriguez >

Hide

## Re: City contract fees

January 29, 2015 at 1:06 PM

Found in Gmail All Mail Mailbox

Thank you for sharing this Frank and for contributing so much to the community.

Thanks,  
Robert Kingham

Sent from my iPhone

On Jan 29, 2015, at 12:42 PM, Frank Rodriguez <[REDACTED]> wrote:

FYI -- I wanted you to know that I am not getting paid for any of the City contracts with the LHCF. I am volunteering my time not only on the Rundberg project but all City projects including the ACA project. I publicly made this clear to the Rundberg group at their last meeting. I thought it important that we leverage as much as possible for this important community work. Of course, this can be verified through the audit that will be conducted. Thanks. FMR

--

Frank M. Rodriguez  
P.O. Box 1271  
Austin, Texas 78767  
c [REDACTED]

**Confidentiality Notice:** The information contained in this email and any attachments is intended only for the recipient[s] listed above and may be privileged and confidential. Any dissemination, copying, or use of or reliance upon such information by or to anyone other than the recipient[s] listed above is prohibited. If you have received this message in error, please notify the sender immediately at the email address above and destroy any and all copies of this message.



RECEIVED JUN 30 2015

# **Montemayor Hill Britton & Bender PC**

**CERTIFIED PUBLIC ACCOUNTANTS**

**LATINO HEALTHCARE FORUM  
INDEPENDENT AUDITOR'S REPORT  
AND  
FINANCIAL STATEMENTS**

**DECEMBER 31, 2014**



## Montemayor Hill Britton & Bender PC

CERTIFIED PUBLIC ACCOUNTANTS

Board of Directors and Management  
Latino HealthCare Forum

### INDEPENDENT AUDITOR'S REPORT

We have audited the accompanying financial statements of Latino HealthCare Forum (LHCF), which are comprised of the statement of assets, liabilities, and net assets-cash basis as of December 31, 2014, and the related statement of cash receipts and disbursements for the year then ended, and the related notes to the financial statements.

#### Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with the cash basis of accounting as described in Note 2; this includes determining that the cash basis of accounting is an acceptable basis for the preparation of the financial statements in the circumstances. Management is also responsible for the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

#### Auditor's Responsibility

Our responsibility is to express an opinion on these financial statements based on our audit. We conducted our audit in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.

2525 WALLINGWOOD DRIVE  
SUITE 200  
AUSTIN, TEXAS 78746  
PHONE: 512.442.0380  
FAX: 512.442.0817  
[www.montemayorhill.com](http://www.montemayorhill.com)



We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the assets, liabilities, and net assets of LHCF as of December 31, 2014, and its revenue and expenses for the year then ended in accordance with the cash basis of accounting as described in Note 2.

Basis of Accounting

We draw attention to Note 2 of the financial statements, which describes the basis of accounting. The financial statements are prepared on the cash basis of accounting, which is a basis of accounting other than accounting principles generally accepted in the United States of America. Our opinion is not modified with respect to that matter.

Montemayor Hies Britton & Bender PC

18 June 2015  
Austin, Texas



**LATINO HEALTHCARE FORUM**

**STATEMENT OF ASSETS, LIABILITIES, AND NET ASSETS-CASH BASIS**

**DECEMBER 31, 2014**

**ASSETS**

|      |                 |
|------|-----------------|
| Cash | <u>\$60,607</u> |
|------|-----------------|

**LIABILITIES AND NET ASSETS**

|             |     |
|-------------|-----|
| Liabilities | \$0 |
|-------------|-----|

|            |               |
|------------|---------------|
| Net assets | <u>60,607</u> |
|------------|---------------|

|  |                 |
|--|-----------------|
|  | <u>\$60,607</u> |
|--|-----------------|

The accompanying notes are an integral part of this financial statement presentation.

**LATINO HEALTHCARE FORUM**

**STATEMENT OF CASH RECEIPTS AND DISBURSEMENTS**

**YEAR ENDED DECEMBER 31, 2014**

**CASH RECEIPTS**

|                   |                  |
|-------------------|------------------|
| Project contracts | <u>\$711,454</u> |
|-------------------|------------------|

**CASH DISBURSEMENTS**

|                             |               |
|-----------------------------|---------------|
| Payroll                     | 552,810       |
| Contract labor and services | 77,981        |
| Travel                      | 27,692        |
| Promotional material        | 22,328        |
| Telephone                   | 18,755        |
| Insurance                   | 18,394        |
| Facility                    | 14,637        |
| Other                       | <u>30,776</u> |

763,373

|                                       |          |
|---------------------------------------|----------|
| CASH RECEIPTS OVER CASH DISBURSEMENTS | (51,919) |
|---------------------------------------|----------|

|                                   |                |
|-----------------------------------|----------------|
| BEGINNING UNRESTRICTED NET ASSETS | <u>112,526</u> |
|-----------------------------------|----------------|

|                                |                 |
|--------------------------------|-----------------|
| ENDING UNRESTRICTED NET ASSETS | <u>\$60,607</u> |
|--------------------------------|-----------------|

The accompanying notes are an integral part of this financial statement presentation.

# **LATINO HEALTHCARE FORUM**

## **NOTES TO FINANCIAL STATEMENTS**

### **NOTE 1: ORGANIZATION**

Latino HealthCare Forum (LHCF) is a non-profit organization incorporated in 2011. LHCF is an Austin, Texas based organization concerned with reducing racial and ethnic health disparities. LHCF provides education outreach and healthcare enrollment assistance for the uninsured and underinsured seeking to obtain coverage through the Affordable Care Act. Revenue is mainly generated primarily from contracts and grants.

### **NOTE 2: SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES**

#### **FINANCIAL STATEMENT PRESENTATION**

LHCF is required to report information regarding its financial position and activities according to three classes of net assets: unrestricted, temporarily restricted, and permanently restricted net assets, as applicable. No temporarily or permanently restricted activity occurred during the year ended December 31, 2014.

##### Unrestricted Net Assets

Unrestricted net assets result from operating revenues and unrestricted contributions; less expenses incurred in operations, to raise contributions and for administrative functions.

##### Temporarily Restricted Net Assets

Restricted revenue is recorded as an increase in temporarily restricted net assets. When a restriction is satisfied, temporarily restricted net assets are reclassified to unrestricted net assets.

#### **BASIS OF ACCOUNTING**

LHCF uses the cash basis of accounting which recognizes revenue when cash is received and expenses when cash is paid.

#### **FEDERAL INCOME TAXES**

LHCF is exempt from Federal income tax under Section 501(c)(3) of the Internal Revenue Code. Therefore, no provision has been made for Federal income taxes in the accompanying financial statements.

At December 31, 2014, no interest and penalties have been or are required to be accrued. LHCF, generally, is no longer subject to income tax examinations by federal authorities for years prior to December 31, 2011.

#### **SUBSEQUENT EVENTS**

LHCF has evaluated subsequent events as of June 18, 2015, the date the financial statements were available to be issued.

# **LATINO HEALTHCARE FORUM**

## **NOTES TO FINANCIAL STATEMENTS**

### **NOTE 2: SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES**

#### **USE OF ESTIMATES**

The preparation of financial statements in conformity with U.S. generally accepted accounting principles requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities, or disclosure of contingent assets and liabilities at the date of the financial statements, and the reported amounts of revenues and expenses during the reporting period. Actual results could differ from those estimates.

### **NOTE 3: FUNCTIONAL EXPENSES**

|                |                  |
|----------------|------------------|
| Program        | \$616,701        |
| Administrative | 139,149          |
| Fundraising    | <u>7,523</u>     |
|                | <u>\$763,373</u> |

### **NOTE 4: RELATED PARTY TRANSACTIONS**

LHCF rents space from an employee. Total rent expense is approximately \$10,000 annually.

The Executive Director is related to the Director of Administration. The contractor that provides bookkeeping services is related to the Chief Operating Officer. Payments for bookkeeping services were approximately \$16,000 during the year.

### **NOTE 5: CONCENTRATION**

Contracts with two organizations make up 93% of revenue.



RECEIVED JUN 30 2015

## Montemayor Hill Britton & Bender PC

CERTIFIED PUBLIC ACCOUNTANTS

Board of Directors and Management  
Latino HealthCare Forum

### COMMUNICATIONS WITH THOSE CHARGED WITH GOVERNANCE

We have audited the financial statements of the Latino HealthCare Forum (LHCF) for the year ended December 31, 2014, and have issued our report thereon dated 18 June 2015. Professional standards require that we provide you with information about our responsibilities under generally accepted auditing standards, as well as certain information related to the planned scope and timing of our audit. We have communicated information related to the planned scope and timing of our audit in our engagement letter to you dated May 12, 2015. Professional standards also require that we communicate to you the following information related to our audit.

#### Our Responsibility under U.S. Generally Accepted Auditing Standards

As stated in our engagement letter, our responsibility, as described by professional standards, is to express an opinion about whether the financial statements prepared by management with your oversight are fairly presented, in all material respects, in conformity with U.S. generally accepted accounting principles. Our audit of the financial statements does not relieve you or management of your responsibilities.

Because an audit is designed to provide reasonable, but not absolute, assurance and because we will not perform a detailed examination of all transactions, there is a risk that material misstatements may exist and not be detected by us. In addition, an audit is not designed to detect immaterial misstatements or violations of laws or governmental regulations that do not have a direct and material effect on the financial statements. Our responsibility as auditors is limited to the period covered by our audit and does not extend to any later periods for which we are not engaged as auditors.

#### Internal Control

In planning and performing our audit, we considered LHCF's internal control over financial reporting (internal control) as a basis for designing our auditing procedures for the purpose of expressing our opinion on the financial statements, but not for the purpose of expressing an opinion on the effectiveness of LHCF's internal control. Accordingly, we do not express an opinion on the effectiveness of LHCF's internal control.

Our consideration of internal control was for the limited purpose described in the preceding paragraph and was not designed to identify all deficiencies in internal control that might be significant deficiencies or

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**Board of Directors and Management  
Latino HealthCare Forum  
Communications with Those Charged with Governance  
Page 2**

material weaknesses and therefore, material weakness and significant deficiencies may exist that were not identified. In addition, because of inherent limitations in internal control, including the possibility of management override of controls, misstatements due to error or fraud may occur and not be detected by such controls. However as discussed below, we identified certain deficiencies in internal control that we consider to be material weaknesses and other deficiencies that we consider to be significant deficiencies.

A deficiency in internal control exists when the design or operation of a control does not allow management or employees, in the normal course of performing their assigned functions, to prevent, or detect and correct misstatements on a timely basis. A material weakness is a deficiency, or combination of deficiencies in internal control, such that there is a reasonable possibility that a material misstatement of the entity's financial statements will not be prevented, or detected and corrected on a timely basis. We consider the following deficiencies in LHCF's internal control to be material weaknesses:

1. Segregation of duties (separation of accounting functions from custodial functions) is one of the basic components of an internal control structure. However, in LHCF's case, complete segregation of duties over the cash disbursements is not possible due to limited staff and resources.

The responsibility for understanding the risks of material misstatement of accounting records due to fraud and ensuring the operation of mitigating controls has been placed on management and the Board. We recommend the Board discuss these risks and review the related controls. Some of the risks that the Board and management should consider are theft of cash or incoming checks before they are recorded in the general ledger and theft of cash through fraudulent payments.

2. Material adjustments were recorded as a result of audit procedures in order to present financial statements in accordance with U.S. generally accepted accounting principles. LHCF's management is responsible for preparing financial statements in accordance with those principles. Management should review the adjustments and establish procedures to ensure they are properly recorded periodically and on an ongoing basis.

A significant deficiency is a deficiency, or a combination of deficiencies, in internal control that is less severe than a material weakness, yet important enough to merit attention to those charged with governance. We consider the following deficiencies in LHCF's internal control to be significant deficiencies:

1. 8 of 37 sampled expense transactions selected for testing lacked supporting documentation such as invoices or receipts. The potential effect of not retaining supporting documentation for transactions is that an invalid payment could occur and not be identified.
2. For fiscal year 2014 LHCF did not have a Board approved budget that was reviewed against actual results on an ongoing basis. The potential effect of not periodically comparing actual operating results against an approved budget is that an invalid payment could occur and not be identified.





Board of Directors and Management  
Latino HealthCare Forum  
Communications with Those Charged with Governance  
Page 3

3. Commission payments to employees were reported as contract labor on Form 1099 instead of being included in taxable wages in the Form W-2. Additionally, taxable wages per the Form W-2 did not include telephone and travel allowances. The Executive Director was reimbursed for health insurance premium payments, rather than those premiums being paid directly to the insurer. These treatments could result in potential taxes, penalties and interest being charged by the IRS.

Accounting Estimates

Accounting estimates are an integral part of the financial statements prepared by management and are based on management's knowledge and experience about past and current events and assumptions about future events. Certain accounting estimates are particularly sensitive because of their significance to the financial statements and because of the possibility that future events affecting them may differ significantly from those expected. The most sensitive estimate affecting the financial statements is management's estimate of the functional allocation of expenses is based on estimates of time spent by staff on various functional activities. We evaluated the key factors and assumptions used to develop these estimates in determining that they are reasonable in relation to the financial statements taken as a whole.

Accounting Policies

Management is responsible for the selection and use of appropriate accounting policies. The significant accounting policies used by LHCF are described in Note 2 to the financial statements. No new accounting policies were adopted and the application of existing policies was not changed during the year. We noted no transactions entered into by LHCF during the year for which there is a lack of authoritative guidance or consensus. All significant transactions have been recognized in the financial statements in the proper period.

Difficulties Encountered in Performing the Audit

We encountered no significant difficulties in dealing with management in performing and completing our audit.

Corrected Misstatements

Professional standards require us to accumulate all known and likely misstatements identified during the audit, other than those that are trivial, and communicate them to the appropriate level of management. The attached schedule of corrected misstatements summarizes adjustments detected by audit procedures and corrected by management.

Disagreements with Management

For purposes of this letter, professional standards define a disagreement with management as a financial accounting, reporting, or auditing matter, whether or not resolved to our satisfaction, that could be significant to the financial statements or the auditor's report. We are pleased to report that no such disagreements arose during the course of our audit.



Board of Directors and Management  
Latino HealthCare Forum  
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Management Representations

We have requested certain representations from management that are included in the management representation letter dated June 18, 2015.

Management Consultations with Other Independent Accountants

In some cases, management may decide to consult with other accountants about auditing and accounting matters, similar to obtaining a "second opinion" on certain situations. If a consultation involves application of an accounting principle to the LHCF's financial statements or a determination of the type of auditor's opinion that may be expressed on those statements, our professional standards require the consulting accountant to check with us to determine that the consultant has all the relevant facts. To our knowledge, there were no such consultations with other accountants.

Other

We generally discuss a variety of matters, including the application of accounting principles and auditing standards, with management each year prior to retention as LHCF's auditors. However, these discussions occurred in the normal course of our professional relationship and our responses were not a condition to our retention.

This information is intended solely for the use of the Board of Directors and management of LHCF and is not intended to be and should not be used by anyone other than these specified parties.

Montemayor, Hill Britton & Bender PC

18 June 2015  
Austin, Texas

**LATINO HEALTHCARE FORUM**

**CORRECTED MISSTATEMENTS**

**DECEMBER 31, 2014**

| <u>ACCOUNT</u>            | <u>DEBIT</u> | <u>CREDIT</u> |
|---------------------------|--------------|---------------|
| Project contracts revenue | 50,000       |               |
| Cash                      |              | 50,000        |
| Cash                      | 11,834       |               |
| Beginning net assets      |              | 8,451         |
| Other assets              |              | 3,383         |



## Montemayor Britton Bender PC

CERTIFIED PUBLIC ACCOUNTANTS

Board of Directors and Management  
Latino HealthCare Forum

### INDEPENDENT AUDITOR'S REPORT

We have audited the accompanying financial statements of Latino HealthCare Forum (LHCF), which are comprised of the statement of assets, liabilities, and net assets-cash basis as of December 31, 2015, and the related statement of cash receipts and disbursements for the year then ended, and the related notes to the financial statements.


#### Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with the cash basis of accounting as described in Note 2; this includes determining that the cash basis of accounting is an acceptable basis for the preparation of the financial statements in the circumstances. Management is also responsible for the design, implementation, and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

#### Auditor's Responsibility

Our responsibility is to express an opinion on these financial statements based on our audit. We conducted our audit in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements.



We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the assets, liabilities, and net assets of LHCF as of December 31, 2015, and its revenue and expenses for the year then ended in accordance with the cash basis of accounting as described in Note 2.

Basis of Accounting

We draw attention to Note 2 of the financial statements, which describes the basis of accounting. The financial statements are prepared on the cash basis of accounting, which is a basis of accounting other than accounting principles generally accepted in the United States of America. Our opinion is not modified with respect to that matter.

Montemayor Britton Bender PC

24 May 2016  
Austin, Texas

**LATINO HEALTHCARE FORUM**

**STATEMENT OF ASSETS, LIABILITIES, AND NET ASSETS-CASH BASIS**

**DECEMBER 31, 2015**

**ASSETS**

|      |                 |
|------|-----------------|
| Cash | <u>\$47,532</u> |
|------|-----------------|

**LIABILITIES AND NET ASSETS**

|             |     |
|-------------|-----|
| Liabilities | \$0 |
|-------------|-----|

|            |               |
|------------|---------------|
| Net assets | <u>47,532</u> |
|------------|---------------|

|  |                 |
|--|-----------------|
|  | <u>\$47,532</u> |
|--|-----------------|

The accompanying notes are an integral part of this financial statement presentation.



# **LATINO HEALTHCARE FORUM**

## **STATEMENT OF CASH RECEIPTS AND DISBURSEMENTS**

**YEAR ENDED DECEMBER 31, 2015**

### **CASH RECEIPTS**

|                   |                |
|-------------------|----------------|
| Project contracts | \$993,108      |
| Other             | <u>6,045</u>   |
|                   | <u>999,153</u> |

### **CASH DISBURSEMENTS**

|                      |                  |
|----------------------|------------------|
| Payroll              | 760,301          |
| Contract services    | 94,381           |
| Telephone            | 28,406           |
| Travel               | 27,216           |
| Facility             | 26,833           |
| Promotional material | 24,133           |
| Printing and copying | 13,338           |
| Other                | <u>37,620</u>    |
|                      | <u>1,012,228</u> |

|                                       |          |
|---------------------------------------|----------|
| CASH RECEIPTS OVER CASH DISBURSEMENTS | (13,075) |
|---------------------------------------|----------|

|                                   |               |
|-----------------------------------|---------------|
| BEGINNING UNRESTRICTED NET ASSETS | <u>60,607</u> |
|-----------------------------------|---------------|

|                                |                 |
|--------------------------------|-----------------|
| ENDING UNRESTRICTED NET ASSETS | <u>\$47,532</u> |
|--------------------------------|-----------------|

The accompanying notes are an integral part of this financial statement presentation.

# **LATINO HEALTHCARE FORUM**

## **NOTES TO FINANCIAL STATEMENTS**

### **NOTE 1: ORGANIZATION**

Latino HealthCare Forum (LHCF) is a non-profit organization incorporated in 2011. LHCF is an Austin, Texas based organization concerned with reducing racial and ethnic health disparities. LHCF provides education outreach and healthcare enrollment assistance for the uninsured and underinsured seeking to obtain coverage through the Affordable Care Act. Revenue is mainly generated primarily from contracts and grants.

### **NOTE 2: SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES**

#### **FINANCIAL STATEMENT PRESENTATION**

LHCF is required to report information regarding its financial position and activities according to three classes of net assets: unrestricted, temporarily restricted, and permanently restricted net assets, as applicable. No temporarily or permanently restricted activity occurred during the year ended December 31, 2015.

##### **Unrestricted Net Assets**

Unrestricted net assets result from operating revenues and unrestricted contributions; less expenses incurred in operations, to raise contributions and for administrative functions.

##### **Temporarily Restricted Net Assets**

Restricted revenue is recorded as an increase in temporarily restricted net assets. When a restriction is satisfied, temporarily restricted net assets are reclassified to unrestricted net assets.

#### **BASIS OF ACCOUNTING**

LHCF uses the cash basis of accounting which recognizes revenue when cash is received and expenses when cash is paid.

#### **FEDERAL INCOME TAXES**

LHCF is exempt from Federal income tax under Section 501(c)(3) of the Internal Revenue Code. Therefore, no provision has been made for Federal income taxes in the accompanying financial statements. At December 31, 2015, no interest and penalties have been or are required to be accrued. LHCF, generally, is no longer subject to income tax examinations by federal authorities for years prior to December 31, 2013.

#### **SUBSEQUENT EVENTS**

Management of LHCF has evaluated subsequent events for disclosure through the date of the Independent Auditor's Report, the date the financial statements were available to be issued.

# **LATINO HEALTHCARE FORUM**

## **NOTES TO FINANCIAL STATEMENTS**

### **NOTE 2: SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES**

#### **USE OF ESTIMATES**

The preparation of financial statements in conformity with U.S. generally accepted accounting principles requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities, or disclosure of contingent assets and liabilities at the date of the financial statements, and the reported amounts of revenues and expenses during the reporting period. Actual results could differ from those estimates.

### **NOTE 3: FUNCTIONAL EXPENSES**

|                |                    |
|----------------|--------------------|
| Program        | \$832,315          |
| Administrative | 166,315            |
| Fundraising    | <u>13,598</u>      |
|                | <u>\$1,012,228</u> |

### **NOTE 4: RELATED PARTY TRANSACTIONS**

LHCF rents space from an employee. Total rent expense is approximately \$17,200 annually.

The former Executive Director, who resigned in 2015, is related to the Director of Administration. The former Executive Director was paid approximately \$31,000 in wages and \$17,000 in contract labor during 2015, and was reimbursed approximately \$6,000 for business expenses incurred on behalf of LHCF.

The contractor that provides bookkeeping services is related to the Chief Operating Officer. Payments for bookkeeping services were approximately \$25,000 during the year.

### **NOTE 5: LINE OF CREDIT**

LHCF obtained an unsecured short term line of credit for \$30,000 from IBC Bank. Floating interest is based on the prime rate plus 2%, starting at 5.25%. As of December 31, 2015, there were no balances outstanding on this line of credit. Unpaid principal is due at maturity December 1, 2016.

### **NOTE 6: CONTINGENCY**

LHCF received a grant for a specific purpose that is subject to grantor review. Such review could result in a request for reimbursement by the grantor if unallowable costs are identified. Management believes all significant terms and conditions have been met.



# Montemayor Britton Bender PC

CERTIFIED PUBLIC ACCOUNTANTS

## **LATINO HEALTHCARE FORUM**

### **INDEPENDENT AUDITOR'S REPORT AND FINANCIAL STATEMENTS**

**DECEMBER 31, 2016**



RECEIVED JUN 26 2017

Montemayor Britton Bender PC  
CERTIFIED PUBLIC ACCOUNTANTS

Board of Directors and Management  
Latino HealthCare Forum

INDEPENDENT AUDITOR'S REPORT

We have audited the accompanying financial statements of Latino HealthCare Forum (LHCF), which comprise the statement of financial position as of December 31, 2016, and the related statements of activities and cash flows for the year then ended, and the related notes to the financial statements.

Management's Responsibility for the Financial Statements

Management is responsible for the preparation and fair presentation of these financial statements in accordance with accounting principles generally accepted in the United States of America; this includes the design, implementation and maintenance of internal control relevant to the preparation and fair presentation of financial statements that are free from material misstatement, whether due to fraud or error.

Auditor's Responsibility

Our responsibility is to express an opinion on these financial statements based on our audit. We conducted our audit in accordance with auditing standards generally accepted in the United States of America. Those standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the financial statements. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the financial statements, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the entity's preparation and fair presentation of the financial statements in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. Accordingly, we express no such opinion. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of significant accounting estimates made by management, as well as evaluating the overall presentation of the financial statements. We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Opinion

In our opinion, the financial statements referred to above present fairly, in all material respects, the financial position of LHCF as of December 31, 2016, and the changes in its net assets and its cash flows for the year then ended in accordance with the accounting principles generally accepted in the United States of America.

*Montemayor Britton Bender PC*

19 June 2017  
Austin, Texas

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**LATINO HEALTHCARE FORUM**  
**STATEMENT OF FINANCIAL POSITION**  
**DECEMBER 31, 2016**

**ASSETS**

**CURRENT ASSETS**

|                                    |              |
|------------------------------------|--------------|
| Cash                               | \$36,203     |
| Local government awards receivable | 55,156       |
| Service fees receivable            | 17,500       |
| Prepaid expenses                   | <u>3,918</u> |
|                                    | 112,777      |

**FIXED ASSETS**

1,971

\$114,748

**LIABILITIES AND NET ASSETS**

**CURRENT LIABILITIES**

|                     |               |
|---------------------|---------------|
| Accounts payable    | \$9,787       |
| Accrued liabilities | 17,299        |
| Unearned revenue    | 34,138        |
| Line of credit      | <u>30,000</u> |
|                     | 91,224        |

**UNRESTRICTED NET ASSETS**

23,524

\$114,748

The accompanying notes are an integral part of this financial statement presentation.



**LATINO HEALTHCARE FORUM**

**STATEMENT OF ACTIVITIES**

**YEAR ENDED DECEMBER 31, 2016**

**REVENUE**

|                         |                |
|-------------------------|----------------|
| Local government awards | \$332,852      |
| Federal awards          | 195,982        |
| Service fees            | 69,676         |
| Other                   | <u>23,011</u>  |
|                         | <u>621,521</u> |

**EXPENSES**

|                           |                |
|---------------------------|----------------|
| Payroll                   | 453,106        |
| Contract services         | 105,174        |
| Facility                  | 42,124         |
| Professional services     | 23,702         |
| Telephone                 | 22,963         |
| Promotional materials     | 9,138          |
| Meetings                  | 8,990          |
| Internet support services | 8,860          |
| Other                     | <u>32,041</u>  |
|                           | <u>706,098</u> |

**CHANGE IN NET ASSETS** (84,577)

**BEGINNING UNRESTRICTED NET ASSETS** 108,101

**ENDING UNRESTRICTED NET ASSETS** \$23,524

The accompanying notes are an integral part of this financial statement presentation.

**LATINO HEALTHCARE FORUM**

**STATEMENT OF CASH FLOWS**

**YEAR ENDED DECEMBER 31, 2016**

**CASH FLOWS FROM OPERATING ACTIVITIES**

|                                              |                 |
|----------------------------------------------|-----------------|
| Change in net assets                         | (\$84,577)      |
| Depreciation                                 | 179             |
| Change in local government awards receivable | 20,528          |
| Change in service fees receivable            | 3,565           |
| Change in prepaids                           | (3,918)         |
| Change in accounts payable                   | 9,787           |
| Change in accrued liabilities                | (15,767)        |
| Change in unearned revenue                   | <u>31,024</u>   |
|                                              | <u>(39,179)</u> |

**CASH FLOWS FROM INVESTING ACTIVITIES**

|                           |                |
|---------------------------|----------------|
| Purchases of fixed assets | <u>(2,150)</u> |
|---------------------------|----------------|

**CASH FLOWS FROM FINANCING ACTIVITIES**

|                                  |                 |
|----------------------------------|-----------------|
| Advances under line of credit    | 60,000          |
| Repayments of the line of credit | <u>(30,000)</u> |
|                                  | <u>30,000</u>   |

|                    |          |
|--------------------|----------|
| NET CHANGE IN CASH | (11,329) |
|--------------------|----------|

|                |               |
|----------------|---------------|
| BEGINNING CASH | <u>47,532</u> |
|----------------|---------------|

|             |                        |
|-------------|------------------------|
| ENDING CASH | <u><u>\$36,203</u></u> |
|-------------|------------------------|

The accompanying notes are an integral part of this financial statement presentation.

## **LATINO HEALTHCARE FORUM**

### **NOTES TO FINANCIAL STATEMENTS**

#### **NOTE 1: ORGANIZATION**

Latino HealthCare Forum (LHCF) is a non-profit organization incorporated in 2011. LHCF is an Austin, Texas based organization concerned with reducing racial and ethnic health disparities. LHCF provides education outreach and healthcare enrollment assistance for the uninsured and underinsured seeking to obtain coverage through the Affordable Care Act. Revenue is generated primarily from contracts and grants.

#### **NOTE 2: SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES**

##### **FINANCIAL STATEMENT PRESENTATION**

LHCF is required to report information regarding its financial position and activities according to three classes of net assets: unrestricted, temporarily restricted, and permanently restricted net assets, as applicable. No temporarily or permanently restricted activity occurred during the year ended December 31, 2016.

##### Unrestricted Net Assets

Unrestricted net assets result from operating revenues and unrestricted contributions; less expenses incurred in operations, to raise contributions and for administrative functions.

##### **BASIS OF ACCOUNTING**

LHCF uses the accrual basis of accounting. Revenue is recorded when earned, rather than when received. Expenses are recorded when incurred regardless of when paid.

##### **FIXED ASSETS**

Fixed assets are recorded at cost (or fair value if donated). LHCF capitalizes fixed assets with a useful life of more than one year and a cost equal to or greater than \$5,000. Depreciation is computed using the straight-line method based on the estimated useful life of the asset, ranging from 3 to 10 years.

##### **FEDERAL INCOME TAXES**

LHCF is exempt from Federal income tax under Section 501(c)(3) of the Internal Revenue Code. Therefore, no provision has been made for Federal income taxes in the accompanying financial statements. At December 31, 2016, no interest and penalties have been or are required to be accrued. LHCF, generally, is no longer subject to income tax examinations by federal authorities for years prior to December 31, 2014.

##### **RECEIVABLES**

LHCF considers all receivables to be fully collectible; accordingly, no allowance for doubtful accounts has been recorded.

## **LATINO HEALTHCARE FORUM**

### **NOTES TO FINANCIAL STATEMENTS**

#### **NOTE 2: SUMMARY OF SIGNIFICANT ACCOUNTING POLICIES**

##### **SUBSEQUENT EVENTS**

Management of LHCF has evaluated subsequent events for disclosure through the date of the Independent Auditor's Report, the date the financial statements were available to be issued.

##### **ESTIMATES**

The preparation of financial statements in conformity with U.S. generally accepted accounting principles requires management to make estimates and assumptions that affect the reported amounts of assets and liabilities, or disclosure of contingent assets and liabilities at the date of the financial statements, and the reported amounts of revenues and expenses during the reporting period. Actual results could differ from those estimates.

##### **REVENUE**

Unconditional grants and contributions received are recorded at fair value on the date of the award as unrestricted, temporarily restricted, or permanently restricted support depending on the existence and/or nature of any donor restrictions. LHCF earns revenue under contracts for service through both cost-reimbursement grants and fee for service contracts. LHCF considers all government awards as exchange transactions rather than contributions. LHCF recognizes revenue as eligible expenditures are incurred and/or as services are provided. Eligible expenditures incurred in excess of grant fund reimbursements are recorded as receivables. Advances under cost reimbursement grants received in advance of the expenditures being incurred are recorded as unearned revenue.

##### **FUNCTIONAL EXPENSE ALLOCATION**

The costs of providing the various programs and activities have been summarized on a functional basis in the notes to the financial statements. Accordingly, certain costs have been allocated between the programs and supporting services benefitted.

#### **NOTE 3: LINE OF CREDIT**

LHCF has an unsecured short term line of credit for \$30,000 with IBC Bank. Floating interest is based on the prime rate plus 2%, starting at 5.5%. As of December 31, 2016, \$30,000 was outstanding under this line of credit. Unpaid principal is due at maturity December 1, 2017.

#### **NOTE 4: CONTINGENCY**

LHCF receives grants for specific purposes that are subject to grantor review. Such review could result in a request for reimbursement by the grantor if unallowable costs are identified. Management believes all significant terms and conditions have been met.

## **LATINO HEALTHCARE FORUM**

### **NOTES TO FINANCIAL STATEMENTS**

#### **NOTE 5: FUNCTIONAL EXPENSES**

|                |                  |
|----------------|------------------|
| Program        | \$567,943        |
| Administrative | 126,990          |
| Fundraising    | <u>11,165</u>    |
|                | <u>\$706,098</u> |

#### **NOTE 6: RELATED PARTY TRANSACTIONS**

LHCF rents space from an employee at a discount. Total rent expense for the year was \$36,750, which includes contributed space valued at \$18,750 (see Note 8).

The former Executive Director, is related to the Director of Administration and was paid approximately \$20,000 in consulting fees during 2016.

#### **NOTE 7: CONCENTRATIONS**

Contracts with two government entities represented 88% of total revenue for the year. All of the contracts receivable at December 31, 2016 was due from one governmental entity.

#### **NOTE 8: CONTRIBUTED SPACE**

Contributed space is recognized in the statement of activities as contribution revenue and rent expense. For the year ended December 31, 2016, contributed rent valued at \$18,750 was received in support of LHCF's programs and administration.

**From:** Henry, Keith  
**To:** Linda Smith; Chelsea Brass; Henry, Keith; Sal Valdez; Jill Ramirez  
**Cc:** LaFuente, Laura; Friedman, Michelle; Hastings, Don; Karman, Vella  
**Subject:** LHCF: Secure Your Health Action Plan: Response Required  
**Date:** Thursday, June 23, 2016 3:55:13 PM  
**Attachments:** LHCF FY16 Corrective Action Plan.pdf  
**Importance:** High

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Dear Ms. Ramirez,

Pursuant to our recent site visit. In addition to our review of your recently submitted annual audit. You are hereby requested to respond to the attached action plan.

Please provide a response no later than **COB Thursday July 21, 2016.**

**Warmest Regards,**

*Keith G. Henry, MPA*  
*Grants Coordinator*  
*Contract Management Unit*  
*Austin/Travis County HHSD*  
*P. O. Box 1088*  
*Austin, Texas 78767*  
*(512) 972-5092*  
*(512) 972-5025 FAX*

*"There is a debt of service due from every man to his country, proportioned to the bounties which nature and fortune have measured to him." Colin Powell*



| No. | Concern                                                                                                                                                                                                                                                                                                                                                             | Request                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | Date Due  |
|-----|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|
| 1   | Auditor's Report finds deficiencies in Internal Control for the second year in a row. The first is Separation of Duties. "Separation of accounting functions is one of the basic components of internal control structure. However, in LHCF's case, complete segregation of duties over the cash disbursements is not possible due to limited staff and resources." | Please address this issue with your plan to implement appropriate separation of duties.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                    | 7/21/2016 |
| 2   | Auditor's Report, Internal Control, and Significant Deficiencies: "8 of the 47 sampled expense transactions selected for testing lacked supporting documentation such as an invoice or receipt. Advances were drawn on a cost reimbursement grant contract before allowable expenses were incurred."                                                                | Provide the backup documentation such as receipts/invoices with dates for:<br>1. Project Marketing Materials for which you requested and received reimbursement from the City in October 2015;<br>2. All expenses for which you requested and received reimbursement from the City in the December 2015 General Ledger in the Expenditure Report; and<br>3. All expenses for which you requested and received reimbursement from the City in the January 2016 General Ledger in the Expenditure Report.<br>Please scan all receipts with clear indication for which expense category it belongs to and the allocation method and submit to HHSD via email. | 7/21/2016 |
| 3   | Auditor's Note 2 to Financial Statements: "LHCF uses cash basis accounting. Actual results could differ from those estimates provided by management." Note that in LHCF's Financial Policies, it states that "the agency complies with accrual based accounting" and as such you are out of compliance with your policies.                                          | Please provide a plan and timeline for your agency to move from a cash basis to an accrual basis of accounting and financial statements.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   | 7/21/2016 |
| 4   | Auditor's Note 4 to Financial Statements: "LHCF rents space from an employee. Total rent expense is approximately \$17,200 annually."                                                                                                                                                                                                                               | Please provide a copy of your Subcontract/Procurement policy for services if it is different from the Purchase & Procurement policy in place. If it is the same, please provide the bids from (3) suppliers.                                                                                                                                                                                                                                                                                                                                                                                                                                               | 7/21/2016 |

|   |                                                                                                                                                                                                                                                                                                                                                              |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |           |
|---|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|
|   |                                                                                                                                                                                                                                                                                                                                                              | Renting space from an employee appears to be a conflict of interest. Provide HHSD with the signed lease agreement. Has the lease arrangement been shared with the Board and were there any recommended actions?                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                             |           |
| 5 | Auditor's Note 4 to Financial Statements: "The former Executive Director, who resigned in 2015, is related to the Director of Administration. The former Executive Director was paid approximately \$31,000 in wages and \$17,000 in contract labor during 2015, and was reimbursed approximately \$6,000 for business expenses incurred on behalf of LHCF." | <p>Provide the City with your Board approved Conflict of Interest, and Nepotism policies. These should include, at minimum:</p> <ul style="list-style-type: none"> <li>• individuals that the policy covers,</li> <li>• how individuals will disclose conflicts/relationships</li> <li>• actions that are taken to prevent conflict of interests and nepotism from occurring</li> <li>• Which individuals are responsible for taking action if/when a possible conflict occurs.</li> <li>• actions that are taken when a conflict of interest or nepotism occurs</li> <li>• how often individuals will need to disclose Conflicts/Relationships</li> </ul> <p>Each board/staff member will need to sign these documents.</p> <p>LHCF's Employee Handbook, Section 9.11 provides a "general rule" of conflict of interest, but does not qualify as a policy.</p> <p>Note the Nepotism policy is a requirement for your contract with HHSD. While not currently required in the contract, a Conflict of Interest Policy is highly recommend for any organization.</p> <p>Please indicate whether the Board was aware of the relationship between the former Executive Director and the Director of Administration. Also, provide receipts for any HHSD for payments to the former Executive Director for the \$17,000 of contract labor and \$6,000 of business expenses.</p> | 7/21/2016 |
| 6 | Auditor's Note 4 to Financial Statements: "The contractor that provides booking services is                                                                                                                                                                                                                                                                  | Please provide a copy of your Subcontract/Procurement policy for services if it is different from the Purchase &                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | 7/21/2016 |

|  |                                          |                                                                                                                                                                                                                                                                                                     |  |
|--|------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|
|  | related to the Chief Operating Officer." | <p>Procurement policy in place. If it is the same, please provide the bids from (3) suppliers.</p> <p>This appears to be a conflict of interest. Has the relationship between the Chief Operating Office and the bookkeeper been disclosed to the Board and were there any recommended actions?</p> |  |
|  |                                          |                                                                                                                                                                                                                                                                                                     |  |



**Austin/Travis County Health & Human Services Department**



**P.O. Box 1088  
Austin, Texas 78767**

September 09, 2016

Jill Ramirez, Executive Director  
Latino HealthCare Forum  
6601 Felix Ave  
Austin, Texas 78752

**Re: FY16 Onsite Review, June 03, 2016**

Dear Ms. Ramirez, MSSW:

The City of Austin appreciates your staff's assistance throughout our review during the FY16 annual on-site visit. Of which, our review resulted in a request for response pursuant to a corrective action plan. Thus the purpose of the review was to ensure that Latino Health Care Forum (LHCF) is adhering to the terms and conditions of your organization's Secure Your Health and Restore Rundberg agreement(s).

To that end, the final results of our analysis are documented within this letter. To begin we'd like to acknowledge Latino Health Care Forum for being responsive in addressing all applicable inquiries relative to its segregation of duties, office space agreement, cash basis accounting, and nepotism policies.

In regard to segregation of duties; LHCF has responded by instituting internal plans to eliminate any implications of conflicts of interest. Furthermore, consistent with conflict of Interest concerns. Nepotism was addressed. LHCF responded by stating that the board did in fact have knowledge of an internal spousal relationship within the organization. In which the board noted there were no payments/transactions between spouses made under HHSD contracts.

Additionally, office rental space is currently being paid out to an employee. This was not determined to be a violation of the contract agreement. Considering the lease is substantially below market value. The discounted lease rate of \$1.015 per square feet is an estimated \$3.00 below the market average.

Moreover, cash basis accounting was also a concern. Cash basis accounting is not a "Generally Accepted Accounting Principle" (GAAP). As a result, LHCF has agreed to transition to the (GAAP) accepted accrual based accounting.

We are therefore pleased to report LHCF's responses as satisfactory. Nevertheless, though the responses were determined to adequately address compliance. We think it prudent to caution LHCF of its current practices. Especially those which relate to segregation of duty policies. Thus it is our recommendation that the organization consider a more comprehensive form of separation of duties principles. While a limited staff provides reasonable justification for the limitations of the practice. Those limitations should not alleviate best practices of checks and

balances methodologies. Furthermore, while we also acknowledge that inexpensive office space is at a premium within the city of Austin. We also affirm that renting from an employee is not the most plausible option of obtaining office space. It places the organization at immense risk and could lead to adverse actions either from funders or the employee.

Notwithstanding, our concerns. At present LHCF's monitoring level will remain at level 1. We thank and recognize your organizations good faith efforts to address our concerns. Most importantly, we thank you for your commitment to serving the Austin/Travis County public.

Respectfully,

Keith G. Henry  
Grants Coordinator  
Contract Management Unit

Cc: Central File  
Laura LaFuenta, Manager, Contract Management Unit  
Don Hastings, Chief Administrative Officer  
Michelle Friedman, Grants Coordinator

Latino HealthCare Forum 30-day Action Plan

| No. | Concern                                                                                                                                                                                                                                                                                                                                                             | Request                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | Date Due  |
|-----|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|
| 1   | Auditor's Report finds deficiencies in Internal Control for the second year in a row. The first is Separation of Duties. "Separation of accounting functions is one of the basic components of internal control structure. However, in LHCF's case, complete segregation of duties over the cash disbursements is not possible due to limited staff and resources." | Please address this issue with your plan to implement appropriate separation of duties.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | 7/21/2016 |
| 2   | Auditor's Report, Internal Control, Significant Deficiencies: "8 of the 47 sampled expense transactions selected for testing lacked supporting documentation such as an invoice or receipt...Advances were drawn on a cost reimbursement grant contract before allowable expenses were incurred."                                                                   | Provide the backup documentation for:<br>1. Project Marketing Materials in October 2015;<br>2. All expenses in the December 2015 General Ledger in the Expenditure Report; and<br>3. All expenses in the January 2016 General Ledger in the Expenditure Report.<br>Backup documentation should contain dates.<br>Please scan all receipts with clear indication for which expense category it belongs to and the allocation method and submit to HHSD via email.                                                                                                                                                                                                                                                                                                                                                                                                             | 7/21/2016 |
| 3   | Auditor's Note 2 to Financial Statements: "LHCF uses cash basis accounting. Actual results could differ from those estimates provided by management."<br>Note that in LHCF's Financial Policies, it states that "the agency complies with accrual based accounting" and as such you are out of compliance with your policies.                                       | Please provide a plan for your agency to move from a cash basis to an accrual basis of accounting.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           | 7/21/2016 |
| 4   | Auditor's Note 4 to Financial Statements: "LHCF rents space from an employee. Total rent expense is approximately \$17,200 annually."                                                                                                                                                                                                                               | Renting space from an employee presents a clear conflict of interest. Provide HHSD with the signed lease agreement and whether or not the Board is aware of this arrangement.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                | 7/21/2016 |
| 5   | Auditor's Note 4 to Financial Statements: "The former Executive Director, who resigned in 2015, is related to the Director of Administration. The former Executive Director was paid approximately \$31,000 in wages and \$17,000 in contract labor during 2015, and was reimbursed approximately \$6,000 for business expenses incurred on behalf of LHCF."        | Create 2 policies, for Board approval: Conflict of Interest, and Nepotism. These should include, at minimum: actions that are taken to prevent conflict of interests and nepotism from occurring and actions that are taken when a conflict of interest or nepotism occurs. LHCF's Employee Handbook, Section 9.11 provides a "general rule" of conflict of interest, not a policy.<br>Each staff member will need to sign these documents.<br>Note these policies are a requirement for your contract with HHSD (contract boilerplate).<br>Provide information on the nature of the relationship between the former Executive Director and the Director of Administration.<br>Has this relationship been disclosed to the Board?<br>Provide receipts to HHSD for payments to former Executive Director for the \$17,000 of contract labor and \$6,000 of business expenses. | 7/21/2016 |
| 6   | Auditor's Note 4 to Financial Statements: "The contractor that provides booking services is related to the Chief Operating Officer."                                                                                                                                                                                                                                | This presents a clear conflict of interest. Provide information on the nature of the relationship between the Chief Administration Officer and the bookkeeper.<br>Has this been disclosed to the Board?                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                      | 7/21/2016 |



**Latino HealthCare Forum 7/21/2016**  
**Response to Audit Items – Secure Your Health 2015-2016 / NG16000005**  
**City of Austin, Texas**

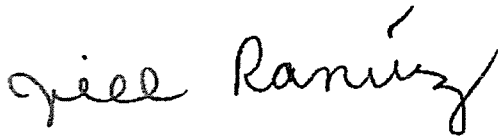
July 21, 2016

Attn:

Mr. Keith Henry – Project Manager  
City of Austin, Texas  
Health and Human Services Department  
Secure Your Health Program / Contract No. NG18000005

The following materials have been compiled in response to your respective request for a response to each of the items delineated in your correspondence. Please advise of any additional materials and/or clarification to any of the responses provided herein. LHCF has attempted to respond as directly as possible and provide appropriate documentation as requested.

Thank you for the opportunity to respond to your findings and the continued effort to improve our performance for the benefit of the citizens of our community. Please advise of any need for clarification of the responses and/or exhibits provided.



Jill Ramirez / CEO

Latino HealthCare Forum

**Latino HealthCare Forum 7/21/2016**

**Response to Audit Items – Secure Your Health 2015-2016 / NG16000005**

**City of Austin, Texas**

## **#5 Concern**

### **Relationships of LHCF Management**

- **Nepotism**
- **Conflict of Interest / Board Governance - Disclosure**

**LHCF Management Response to issue(s) identified:**

### **LHCF Response to Concern No 5**

The Conflict of Interest policy is attached along with signature pages for the five board members and four administrative staff persons – Jill Ramirez, Sal Valdez, Isabel Lopez, and Linda Smith. Section 9.11 of the LHCF Employee Handbook states our nepotism policy. Employee conduct that may have created a conflict of interest has been closely monitored.

In the case of COO Sal Valdez being an employee while his spouse performed as the LHCF contracted bookkeeper, it was permissible because Sal strictly avoided making any financial transactions or viewing confidential documents. In the case of the former CEO Frank Rodriguez and [REDACTED] Linda Smith, they each served in separate but complementary roles with Linda performing as a seasoned human resource manager while Frank wrote proposals and managed the budget. Currently there are no administrative staff who are related to one another.

The board was aware of these relationships since the 2014 audit clearly disclosed the relationships at a board meeting attended by all board members. In addition, Board Chair Raul Castaneda has written the attached letter attesting to his long held knowledge of [REDACTED] [REDACTED] Frank and Linda and the six-year history of the organization.

There were no HHSD payments to the former CEO, Frank Rodriguez, for the \$17,000 of contract labor nor the \$6,000 of business expenses. These payments were made from non-COA discretionary funds.

## LHCF STAFF RESPONSE TO CONCERN NO 5 AND NO 6

July 13, 2016

An historical overview may be helpful to address both of the concern items No 5 & No 6. When the Affordable Care Act (ACA) became law in 2010, Frank Rodriguez conceptualized the Latino HealthCare Forum as a vehicle to educate Austin residents, particularly Spanish-speaking residents, regarding the new law and provide assistance to them with the marketplace enrollment. There was much discussion about what form the nascent organization might take – series of lectures or open forums, position papers, social media and other.

The original team members were Jill Ramirez, MEd as an educator, Sam Coronado, MA as an illustrator, Frank Rodriguez as the policy and financial person, Hector Torres as IT director, and Linda Smith, MSW as Human Resources, planning, and administration. Linda was Human Resources Manager for People's Community Clinic for seven years and completed 39 hours in a UT Doctoral program with a focus on Policy, Planning and Administration.

When the first ACA outreach and enrollment work contracts were obtained, additional personnel were added to staff the organization including Sal Valdez, MSW to help operationalize the work. Sal's background includes serving as Deputy Executive Director for the Texas General Service Commission and Director of Rural and Economic Development, Texas Department of Agriculture.

Many hours were worked uncompensated especially by Jill Ramirez who taught the first Community Health Worker 251 hour certification class without pay of any kind. In addition, Sam Coronado, designed the LHCF and Mananatial de Salud logos pro-bono. Our Secure Your Health/Asegure Su Salud logo that Sam created has national recognition and is used on all of our branding items – T-shirts, bags, etc. Having recognizable logos helps the LHCF reach our target community and facilitates repeated contacts.

Sam Coronado owned an art studio in the Montopolis area and allowed the LHCF to have one of his offices to carry out the 2013 ACA open enrollment program. He moved his work into a smaller building so that the LHCF could have the larger property and rented it on a month to month basis which was below market. As a founder he wanted to help support the organization's goals and this type of rental arrangement was a huge benefit to a start-up. There was no long term commitment to rent the space because none of us could predict the future.

It seems the LHCF was able to develop to the point it has to date because the team who came together had the necessary experience and skills to run such an organization. All of the bases were covered including human resources, education, policy, bookkeeping, financial, IT and operations. All staff are highly qualified in their respective fields and the fact that some of them are related to other staff made the work group cohesive and responsive. The commitment and ability to do whatever it took to make the organization successful has paid off with national recognition as well as local and state recognition.

It is common for start-up organizations to begin with a few committed individuals who are the founders that serve as the initial board members and the first employees. As the organization develops, a more formal board is put in place and additional employees are hired. Some of the original founders left the

organization such as Frank Rodriguez, founder and CEO, who left April 18, 2015, Sam Coronado founder who is deceased, Vicky Valdez, who relinquished the bookkeeping function to CPA, Marla

Koosed, and Hector Torres who found other employment when the LHCF Sendero contract ended March, 2016. It is our opinion that these changes are normal and natural. Our current board members are aware of the organization's history and are supportive of continuing our important mission.

Currently, for FY 2016 no employees in administration are related to another employee. The month to month rental arrangement with Jill Ramirez remains in place and is documented to be well below market cost so there is no conflict of interest. It is to the advantage of the non-profit to be able to rent an office in Montopolis which is one of our target areas.



July 12, 2016

Raul Castaneda  
Board Chairperson  
Latino HealthCare Forum  
6601 Felix Ave  
Austin, Texas 78741

To Whom It May Concern:

The staff of the LHCF has shared with me the COA corrective action requests and I would like to respond personally as to whether the Board is aware of [REDACTED] the former Chief Executive Officer, Frank Rodriguez and the current Chief Administrative Officer, Linda Smith.

I have been aware of [REDACTED] for many years and knew of the LHCF's original formation in 2010 to educate Austin residents about the new Affordable Care Act aka Obamacare and the LHCF's subsequent incorporation in 2011. The LHCF has grown over the several years beyond expectation and I am proud to be a part of the organization and the staff's work to educate residents regarding health insurance and healthcare.

Frank, Linda, Jill Ramirez, Sam Coronado, and Hector Torres were all part of the earlier board in 2013 when the LHCF requested and gained 501c3 status. All of these individuals worked several years without pay to incorporate and organize the work of the LHCF so that it has become part of an effective network to educate and assist Austin residents enrolling in and using health insurance obtained through the ACA marketplace.

If I can answer any other questions, please call me at 512-484-6473.

Sincerely,

Raul Castaneda, RPh



NEPOTISM POLICY SECTION 9.11  
FROM LHCF EMPLOYEE HANDBOOK

9.11 Employment of Relatives or Intimates

As a general rule, the simultaneous employment of close relatives, members of the same household and unmarried cohabitants is not prohibited; however, an individual will not be hired for, or kept in, any position that creates an appreciable risk of actual or potential conflict of interest, favoritism, bias or improper influence that could result from such a relationship. This policy includes actual or possible relationships between employees, volunteers, and or board members.

**From:** /O=ATX/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=HAYDEN,STEPHANIEAAD

**To:** [Kingham](#)

[Robert](#)

**CC:**

**Date:** 8/31/2015 11:24:25 AM

**Subject:** RE\_ Performance for Latino Healthcare Forum and Foundation Communities;ACA

**Headers:** Message-ID: <60C3616861E888708D17B34496CE0A08A19087DE@HHSF5Z1F12.coacd.org>

From: "=?iso-8859-1?Q?O=3DATX/OU=3DEXCHANGE ADMINISTRATIVE GROUP \ (FYDIBO?=  
=?iso-8859-1?Q?HF23SPDLT)/CN=3DRECIPIENTS/CN=3DHAYDEN,STEPHANIEAA?=  
=?iso-8859-1?Q?D?=" <

To: Kingham <,>

Robert <,>

Subject: "=?iso-8859-1?Q?RE\_ Performance\_for\_Latino\_Healthcare?="

=?iso-8859-1?Q?\_Forum\_and\_Foundation\_Communities;ACA?="

Date: Mon, 31 Aug 2015 11:24:25 -0500

MIME-Version: 1.0

Content-Type: text/html;

charset="iso-8859-1"

Content-Transfer-Encoding: quoted-printable

X-Priority: 3

Return-Path: /O=ATX/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=HAYDEN,STEPHANIEAAD

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I might get this question. Can you reach out to Foundation Communities to ask them with the city's share of funding how many people enrolled?  
Latino Healthcare Forum do they have demographics of the people served?

Thanks

Stephanie

---

**From:** Kingham, Robert

**Sent:** Monday, August 31, 2015 7:26 AM

**To:** Hayden, Stephanie

**Subject:** RE: Performance for Latino Healthcare Forum and Foundation Communities ACA

Please see below. Also attached are summary reports provided by the two agencies.

Foundation Communities:

- o Outreach:

- # of Outreach events: 62**

- Individuals reached through outreach events: Not reported

- o Households served: 10,678

- o **# Enrolled/Likely to Enroll: 5,911**

- o Demographics:

- 61% identify as Hispanic or Latino;

- 22% Caucasian or White;

- 10% African American, African or Black;

- 5% Asian; and

- 2% multiple or other ethnicities

Latino Healthcare Forum:

- o Outreach:

- # of Outreach events: 143**

- Individuals reached through outreach events: 26,213

- o Households served: Not reported

- o **# Enrolled: 168**

- o Demographics: Not reported

Thanks,  
Robert

**From:** Hayden, Stephanie

**Sent:** Friday, August 28, 2015 4:54 PM

**To:** Kingham, Robert

**Subject:** Performance for Latino Healthcare Forum and Foundation Communities ACA

Hello can you provide me performance data for both of these agencies? I know they were both deliverable contracts so we may need to ask the agencies. Also if they have demographic that would be great.

Thanks.

A spirit of harmony can only survive if each of us remembers, when bitterness and self-interest seem to prevail, that we share a common destiny.

Barbara Jordan

Stephanie Y. Hayden, LMSW

512-972-5017

Thanks,  
Robert

**From:** Friedman, Michelle  
**Sent:** Monday, August 31, 2015 3:19 PM  
**To:** Kingham, Robert  
**Cc:** Henry, Keith  
**Subject:** Latino Healthcare Forum - Organizational Level Concerns and Corrective Action Plan  
**Importance:** High

Robert,

This email provides information on the current situation regarding the Latino Healthcare Forum, specifically issues that arose out of their Administrative and Fiscal Review, and their FY14 Audit.

At a very high level, our biggest concern is the virtual lack of separation of duties. This issue is pervasive. The Board of Directors is comprised primarily of staff. At the time of the AFR, there were 4 staff on the Board. As a result of our review, there are currently 5 with 2 additional to come on board in the next 2 quarters. This makes a total of 4 staff and 3 external Directors by January 1, 2016. The Board meets on an ad-hoc basis, often as a reaction to issues that we have identified or requirements that we have. The Board is anticipating resuming regular meetings starting next quarter.

The Auditor's Management Letter identifies several concerns related to Internal Control, all of which are documented in the attached Corrective Action Plan and in CTK. An example of this is that adjustments had been made to the financial statements to present them in accordance with GAAP, as they had originally not be entered in accordance with GAAP. The auditor also found that segregation of duties over cash disbursements is "not possible" due to limited staff and resources. The auditor states that "Some risks to be considered are theft of cash or incoming checks before they are recorded in the GL and theft of cash through fraudulent payments."

Most recently, the LHCF submitted to the City a Board Certification Form signed by the Board Chair stating that the audit firm presented their findings to the Board. When the City contacted the Auditor, he confirmed that the audit was not presented to the Board. Subsequently, we requested the LHCF to invite the Auditor to present the audit, which was done so at the most recent Board Meeting and approved.

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It is worth noting that the LHCF has taken our concerns seriously and is working diligently to achieve the goals set forth in the Corrective Action Plan, which is due by October 9, 2015.

Please let me know if you have any questions,

Michelle

Michelle Friedman  
Community Based Resources  
Health and Human Services Dept.  
City of Austin



## Austin/Travis County Health and Human Services Department

### Community Based Resources Unit

**Contractor:** Latino Healthcare Forum

**Contract #s:** NG150000052, CT 9100 14122600186, CT 9100 14112400111

**Contract Period:** October 1, 2014 through September 30, 2015

**Contract Managers:** Michelle Friedman and Robert Kingham

**Date of Corrective Action:** July 9, 2015

**Corrective Action Period:** July 9, 2015 through October 9, 2015

Corrective Action Plans established by the Community Based Resources Unit require completion in 90 days or less. When corrective action is completed in less than 90 days, the corrective action timeframe and reporting period will be shortened to match completion of corrective action. Circumstances may exist in which corrective action is not achievable within 90 days. In those unique situations, Contract Management and Agency Management will meet and mutually agree on an extension for the corrective action plan to a specific date or to move forward with the next steps of the cure process.

| Findings / Concerns                                                                                                                                                                                  | Due       | Status | Agency Response                                                                                                                             |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|--------|---------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Finding 1:</b> Board composition violates bylaws.<br>Point 1: Currently 4 out of 5 individuals on the Board are agency staff.<br>Point 2: Board meets on an ad-hoc basis.                         |           |        |                                                                                                                                             |
| <b>Resolution:</b> Board composition will comply with bylaws. It is recommended that bylaws be amended such that staff is not permitted on Board unless approved by majority, and in rare instances. | 10/9/2015 |        |                                                                                                                                             |
| <b>Intermediate Action 1:</b> Develop organizational development plan which includes bylaws and Board membership best practices and is approved by the board.                                        | 9/14/2015 |        | New board member Diaz and other current and prospective members have been briefed on COA Audit results and requirements. Item will again be |

|                                                                                                                                                                                                |           |  |                                                                                                                                                                                |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|--|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                                                                                                                                                                                                |           |  | topic of planned Board meeting in September 2015                                                                                                                               |
| <b>Intermediate Action 2:</b> Vet potential new Board members.                                                                                                                                 | 9/1/2015  |  | Ongoing. Currently have 1 additional member with 2 coming on board in next 2 quarters.                                                                                         |
| <b>Intermediate Action 3:</b> Resume regular Board meetings, per bylaws.                                                                                                                       | 9/1/2015  |  | Per bylaws quarterly meetings have been scheduled and existing members notified.                                                                                               |
| <b>Finding 2:</b> Material Weakness in internal control (governance): Segregation of duties over cash disbursements not possible due to limited staff and resources.                           |           |  |                                                                                                                                                                                |
| <b>Resolution:</b> Develop and implement separation of duties based on roles instead of individuals. It is recommended that Board/management discusses risks and review related controls.      | 10/9/2015 |  | Preliminary documents have been drafted for board review, edits and adoption relative to organizational risks as identified by the Audit organization in their findings.       |
| <b>Intermediate Action 1:</b> Develop a staffing and transition plan, including an organizational chart.                                                                                       | 9/14/15   |  | Submitted draft to COA 8/31/15                                                                                                                                                 |
| <b>Intermediate Action 2:</b> Board approves staffing and transition plan and org chart.                                                                                                       | 9/1/2015  |  | The current organization chart (attached) has been circulated to the board members, as well as a discussion of the development of a transition plan to achieve best practices. |
| <b>Finding 3:</b> Material weakness in internal control (financial): Financial statements are not compliant with GAAP requirements. Invoices and receipts are not available for all purchases. |           |  |                                                                                                                                                                                |
| <b>Resolution:</b> All financials will be recorded in the GAAP required manner and receipts/invoices will be maintained for the appropriate period under contract terms.                       | 9/15/2015 |  | Staff has discussed this requirement and specific policies and procedures to comply with this provision for all future transactions.                                           |
| <b>Intermediate Action 1:</b> Develop final financial policies and procedures to ensure adherence to all federal, state and local financial recording requirements.                            | 9/14/15   |  | Submitted draft to COA 8/31/15                                                                                                                                                 |
| <b>Intermediate Action 2:</b> Board approves financial policies and procedures.                                                                                                                | 9/1/2015  |  | Financial policies and procedures (drafts) have been circulated to all board member for review/discussion and approval at                                                      |



|                                                                                                                                                                                         |           |           |                                                                                                                                                                                                                                                                   |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------|-----------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                                                                                                                                                                                         |           |           | the next board meeting                                                                                                                                                                                                                                            |
| <b>Finding 4:</b> Agency submitted Board Certification form of audit presentation 6/30/15; auditor confirmed did not present to Board                                                   |           |           |                                                                                                                                                                                                                                                                   |
| <b>Resolution:</b> Board is presented audit by auditor; agency submits a signed Board Certification Form to City of Austin                                                              | 8/21/2015 | Completed |                                                                                                                                                                                                                                                                   |
| <b>Concern 1:</b> Lack of sustainable financial resources into programs.                                                                                                                |           |           |                                                                                                                                                                                                                                                                   |
| <b>Resolution:</b> Diversify funding sources to ensure financial sustainability of the organization and its programs.                                                                   | 10/9/2015 |           | All administrative staff and board members have been briefed on the need and strategies to be a sustainable organization. A draft plan has been prepared but will continue to be refined and presented to the board of directors for final approval and adoption. |
| <b>Intermediate Action 1:</b> Create a financial sustainability plan, including diversification of funding sources and fundraising platform, as needed, which is approved by the board. | 9/14/2015 |           | Submitted draft to COA 8/31/15                                                                                                                                                                                                                                    |
| <b>Intermediate Action 2:</b> Board approves sustainability plan                                                                                                                        | 9/1/2015  |           | Pending final draft and the seating of a majority of new board members.                                                                                                                                                                                           |
| <b>Concern 2:</b> Agency does not have a business continuity plan.                                                                                                                      |           |           |                                                                                                                                                                                                                                                                   |
| <b>Resolution:</b> Develop business continuity plan as part of policies and procedures.                                                                                                 | 10/9/2015 |           | Submitted draft to COA 8/31/15                                                                                                                                                                                                                                    |
| <b>Concern 3:</b> Frequent errors inputting data into CTK system, i.e. incorrect dates, inputting data for different programs, etc.                                                     |           |           |                                                                                                                                                                                                                                                                   |
| <b>Resolution:</b> Data will be correctly input into the CTK system.                                                                                                                    | 7/15/2015 |           |                                                                                                                                                                                                                                                                   |
| <b>Intermediate Action 1:</b> Attend CTK training                                                                                                                                       | 7/2/2015  | Completed | Ongoing correspondence and contact with CTK administrators will continue to modify and/or change any required element of project reporting.                                                                                                                       |

**From:** Friedman, Michelle  
**To:** [Kingham, Robert](#)  
**Subject:** RE: Latino Healthcare Forum - Organizational Level Concerns and Corrective Action Plan  
**Date:** Monday, September 21, 2015 1:08:00 PM  
**Attachments:** [LHCF CAP 09212015.doc](#)  
[Re LHCF Corrective Action Plan FY15 0831.msg](#)  
[Re LHCF Corrective Action Plan FY15 0831.msg](#)

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Absolutely. I am attaching the most updated Corrective Action Plan. Many of the items that were scheduled to be approved by the Board meeting in September have been moved to the next Board meeting which is scheduled to take place November 1. The corrective action plan is scheduled to be completed by October 9, so this will need to be amended to ensure all items are complete.

Please note that LHCF submitted 3 documents to HHSD on August 31 (see attached emails):  
**Executive Transition Plan, Organizational Chart and Fiscal Policies & Procedures.** All 3 documents are in an incomplete draft phase. During the on-site, HHSD discussed our comments and concerns to the documents, e.g. there is no CFO in the plans and bylaws have not been amended. The understanding during the on-site was that LHCF will take our concerns into account and prepare final documents for the Board meeting in November.

It is possible during the meeting that LHCF will state that they have begun working on various items in the CAP; however, until an actual document has been drafted and submitted to HHSD, I am considering these to be "not begun". As of the date of the on-site on September 14, these documents had not been written.

I'm happy to sit down and discuss prior to your meeting tomorrow if y'all have any questions.

---

**From:** Kingham, Robert  
**Sent:** Monday, September 21, 2015 11:26 AM  
**To:** Friedman, Michelle  
**Subject:** FW: Latino Healthcare Forum - Organizational Level Concerns and Corrective Action Plan

Michelle:

Will you please update the CAP for the Latino Healthcare Forum with the most recent updates and send it to me? We are meeting with them tomorrow to talk about the ACA funding approved by Council and our hesitations.

Thanks,  
Robert

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**From:** Hayden, Stephanie  
**Sent:** Monday, September 21, 2015 10:36 AM  
**To:** Kingham, Robert  
**Subject:** RE: Latino Healthcare Forum - Organizational Level Concerns and Corrective Action Plan

Since we are having this meeting tomorrow ask Michelle to update this chart if they have completed any of the deliverables. That will give us a sense of what is pending.  
Stephanie

**From:** Kingham, Robert  
**To:** [Friedman, Michelle](#)  
**Subject:** RE: LHCF Sandero Health and Found Comm  
**Date:** Thursday, September 24, 2015 4:40:45 AM

---

Good Morning Michelle:

Thank you for this information. I vaguely remember this when we set up the first ACA contract with them but it fell off my radar.

Thanks,  
Robert

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**From:** Friedman, Michelle  
**Sent:** Wednesday, September 23, 2015 3:53 PM  
**To:** Kingham, Robert  
**Subject:** LHCF Sandero Health and Found Comm

Hi,

I met with Elizabeth Colvin at FC today during the ICT site visit today. She mentioned that she had not worked with LHCF the past enrollment periods because they receive funding from Sandero Health, and they need to remain completely impartial. Because LHCF signs clients up for health insurance with Sandero Health, she only felt comfortable with participating in events and outreach with them but not having them sign up clients in their offices. There are 115 health insurance plans that Foundation Communities goes through with their clients to determine the best one for them and they do not want to be influenced by funding from any one of these companies. LHCF is waiting to hear back from Sandero Health regarding funding for this year.

You may know all this already in which case this point is moot 😊

**Michelle Friedman**  
Community Based Resources  
Health and Human Services Dept.  
City of Austin

(512) 972-5069  
[Michelle.Friedman@austintexas.gov](mailto:Michelle.Friedman@austintexas.gov)

**From:** Friedman, Michelle  
**To:** [LaFuente, Laura](#); [Hastings, Don](#)  
**Cc:** [Henry, Keith](#); [Karman, Vella](#); [Kingham, Robert](#)  
**Subject:** FW: Feedback from CPA Marla Koosed  
**Date:** Monday, June 06, 2016 4:28:23 PM  
**Attachments:** [Montemayor Auditor's Report 060616.pdf](#)  
**Importance:** High

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Hi Don and Laura,

Keith and I are very concerned regarding the fiscal controls of Latino Healthcare Forum and the risks facing the City's investments. Please see the attached Audit, which contains 1 page of financial statements due to the fact that Cash Basis Accounting is used. Please note that the audit firm states that the figures are "estimates" based on management's recollection and therefore we cannot deduce anything of substance from this audit. Keith, please feel free to add anything I may have left off.

Please note 3 clear conflicts of interest (Note 4):

1. LHCF rents space from an employee. Rent is approximately \$17,000. We will request a copy of the lease agreement, and will need to verify that this is fair market rent somehow.
2. The former ED who resigned in March 2015 is related to the Director of Administration (Linda Smith) and was reimbursed \$54,000 in 2015. Linda Smith manages the financials. It is not evident where the \$54k came from.
3. The contractor that provides bookkeeping services is related to the Chief Operating Officer, Sal Valdez. Payments for bookkeeping were approximately \$25,000. Please note this is the contractor that advised LHCF to consolidate their bank accounts, which was responsible for the several month delay in payments, and noted as a red flag in operational procedure and internal controls. The agency is extremely reluctant to hire a financial specialist/accountant on staff. With \$1 million in contracts and only 1 account, \$750,000 is at risk – FDIC insures up to \$250,000.

Furthermore, having conducted the Annual Fiscal Review, LHCF does not have operational reserves of 1 month, is operating on a credit line of variable interest (unclear which program is paying this interest), and last year's audit had 6 Findings related to Governance and Internal Fiscal Controls (solely staff were on the Board for example), which seems to still be an issue.

Regarding the Secure Your Health contract (\$200,000 per year), the Annual Desk Review identified:

- 6 Nos in Financial Review
- 3 Nos in Performance Review
- 1 No in Prior Monitoring Results

Thank you in advance for any feedback,

- Michelle

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**From:** Linda Smith [<mailto:linda@lhcf.org>]

**Sent:** Monday, June 06, 2016 3:06 PM

**To:** Friedman, Michelle <Michelle.Friedman@austintexas.gov>; Henry, Keith <Keith.Henry@austintexas.gov>; Kingham, Robert <Robert.Kingham@austintexas.gov>

**Cc:** Jill Ramirez <jill@lhcf.org>; Sal Valdez <sal@lhcf.org>; Isabel Rios <isabel@lhcf.org>

**Subject:** Re: Feedback from CPA Marla Koosed

All, I'm attaching the audit so you can see the notes which are evidently the disclosures. From what I read Marla was required to use that language as explained by the American Institute of CPA's information she included in her email.

We will send over a bound copy of the audit along with the board certification form late Friday or Monday. Let's us know if you have any other questions about her report. Thanks.

Linda Smith, MSW  
Chief Administrative Officer  
Latino HealthCare Forum  
512-584-0943

---

**From:** Friedman, Michelle <Michelle.Friedman@austintexas.gov>

**Sent:** Monday, June 6, 2016 2:41 PM

**To:** Linda Smith; Henry, Keith; Kingham, Robert

**Cc:** Jill Ramirez; Sal Valdez; Isabel Rios

**Subject:** RE: Feedback from CPA Marla Koosed

Hi Linda,

We completely understand (and know quite a bit about in fact) the choice of language and why Ms. Koosed included it. The questions from our end pertain to the types of disclosures referred to, not why she included these statements. Since these disclosures will appear in the Notes to the Financial Statements, we will wait until we receive the audit.

Thanks,  
Michelle

---

**From:** Linda Smith [mailto:linda@lhcf.org]

**Sent:** Monday, June 06, 2016 2:33 PM

**To:** Friedman, Michelle <Michelle.Friedman@austintexas.gov>; Henry, Keith <Keith.Henry@austintexas.gov>; Kingham, Robert <Robert.Kingham@austintexas.gov>

**Cc:** Jill Ramirez <jill@lhcf.org>; Sal Valdez <sal@lhcf.org>; Isabel Rios <isabel@lhcf.org>

**Subject:** Feedback from CPA Marla Koosed

All, I am forwarding the response from Marla about her statements in the Accountant's

Compilation Report. Best I understand it, the statements qualify the use of cash basis financial reporting. Its pretty much boilerplate language.

We will discuss at the board meeting while the auditor is there, the pros and cons of changing to accrual basis accounting and will keep you posted.

From Marla:

I'm sorry - it is a little difficult. They are making judgments on something they know nothing about. The wording I used is required when the organization decides it is not necessary to make similar disclosures that you can see in your audit as Notes to Financial Statements.

Those are the disclosures. All accountants know what it means. As I said earlier, it is a choice when you have compiled financial statements. It is not a choice on an audit. I don't know what else to say. I can't explain it any more than that.

I've included below some wording from the American Institute of Certified Public Accountants regarding the wording in my report:

**Reporting on Financial Statements That Omit Substantially  
All Disclosures**

**.20 An entity may request the accountant to compile financial statements that omit substantially all the disclosures required by an applicable financial reporting framework, including disclosures that might appear in the body of the financial statements. The accountant may compile such financial statements, provided that the omission of substantially all disclosures is not, to his or her knowledge, undertaken with the intention of misleading those who might reasonably be expected to use such financial statements. When reporting on financial statements that omit substantially all disclosures, the accountant should include, after the paragraph describing the accountant's responsibility,**

**a paragraph in the compilation report that includes the following elements:**

**a. A statement that management has elected to omit substantially all the disclosures (and the statement of cash flows, if applicable) required by the applicable financial reporting framework (or ordinarily included in the financial statements if the financial statements are prepared in accordance with an OCBOA)**

**b. A statement that if the omitted disclosures (and statement of cash flows, if applicable) were included in the financial statements, they might influence the user's conclusions about the company's**



financial position, results of operations, and cash flows (or equivalent for presentations other than accounting principles generally accepted in the United States of America)

c. A statement that, accordingly, the financial statements are not designed for those who are not informed about such matters

AR §80.18 ©2015, AICPA

***Marla Koosed, CPA***

P.O. Box 152051

Austin, TX 78715

cell: [REDACTED]

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**From:** Linda Smith <[linda@lhcf.org](mailto:linda@lhcf.org)>

Linda Smith, MSW

Chief Administrative Officer

Latino HealthCare Forum

512-584-0943

**From:** Kingham, Robert  
**To:** [Riley, Chris \[HHSD\]](#)  
**Subject:** Re: Questions about council budget questions  
**Date:** Thursday, September 01, 2016 12:38:53 PM  
**Attachments:** [image002.png](#)

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Hi Chris:

Those numbers are correct and I understand the question about the disparity. I hoped the first sentence for each contractor helped explain the disparity because there was a different focus between the two contracts...FC was focused on enrollment and LHCF was forced on outreach and education.

Please let me know if you thing I need to add additional information.

Thanks,  
Robert

Sent from my iPhone

On Sep 1, 2016, at 12:35 PM, Riley, Chris [HHSD] <[Christian.Riley@austintexas.gov](mailto:Christian.Riley@austintexas.gov)> wrote:

Hey Robert,  
Did you get my message about this the other day? We just wanted you to confirm the numbers because there's a pretty wide disparity in the outcomes between the two programs.

Thanks.  
Chris-

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**From:** Kingham, Robert  
**Sent:** Tuesday, August 30, 2016 11:58 AM  
**To:** Riley, Chris [HHSD] <[Christian.Riley@austintexas.gov](mailto:Christian.Riley@austintexas.gov)>; Hayden, Stephanie <[Stephanie.Hayden@austintexas.gov](mailto:Stephanie.Hayden@austintexas.gov)>; Selfe, Glenn <[Glenn.Selfe@austintexas.gov](mailto:Glenn.Selfe@austintexas.gov)>; Miller, John M. [HHSD] <[JohnM.Miller@austintexas.gov](mailto:JohnM.Miller@austintexas.gov)>  
**Subject:** RE: Questions about council budget questions

Hi Everyone:

Attached is the response...I've also copied it below for your convenience.

**REQUEST:** In FY 2015, the Affordable Healthcare Act contract cost 300,000 (related to the Hispanic Quality of Life Commission). Please provide details of the contract service agreement.

<!--[if !vml]-->

<image002.png><!--[endif]-->

**RESPONSE:** In FY2015, HHSD contracted with two agencies, Foundation Communities (\$100,000) and Latino Healthcare Forum (\$200,000), to provide outreach, education and enrollment services to individuals and families for the Affordable Care Act (ACA).

Foundation Communities – Insure Central Texas: The primary objective of this agreement was to provide ACA enrollment assistance to individuals and families in the community with limited outreach and education services. Between November 2014 and April 2015, Insure Central Texas served 10,678 households through 5 enrollment centers. The program enrolled or assisted with the enrollment of 5,911 individuals in qualified health plans through the Health Insurance Marketplace. Additionally, between November 2014 and April 2015, Insure Central Texas conducted 62 outreach events throughout the community.

Latino Healthcare Forum – Secure Your Health – The primary objective of this agreement was to provide ACA outreach and education services to individuals and families in the community. Between November 2014 and April 2015, Secure Your Health enrolled 168 individuals in qualified health plans through the Health Insurance Marketplace. Additionally, between November 2014 and April 2015, Secure Your Health conducted 143 outreach events throughout the community reaching 26,213 individuals and were able to follow-up with 847 individuals regarding the ACA enrollment process.

Thanks,  
Robert

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**From:** Riley, Chris [HHSD]  
**Sent:** Tuesday, August 30, 2016 11:22 AM  
**To:** Kingham, Robert <[Robert.Kingham@austintexas.gov](mailto:Robert.Kingham@austintexas.gov)>; Hayden, Stephanie <[Stephanie.Hayden@austintexas.gov](mailto:Stephanie.Hayden@austintexas.gov)>; Selfe, Glenn <[Glenn.Selfe@austintexas.gov](mailto:Glenn.Selfe@austintexas.gov)>  
**Subject:** RE: Questions about council budget questions

Thanks guys!

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**From:** Kingham, Robert  
**Sent:** Tuesday, August 30, 2016 10:59 AM  
**To:** Hayden, Stephanie <[Stephanie.Hayden@austintexas.gov](mailto:Stephanie.Hayden@austintexas.gov)>; Miller, John M. [HHSD] <[JohnM.Miller@austintexas.gov](mailto:JohnM.Miller@austintexas.gov)>; Riley, Chris [HHSD] <[Christian.Riley@austintexas.gov](mailto:Christian.Riley@austintexas.gov)>; Selfe, Glenn <[Glenn.Selfe@austintexas.gov](mailto:Glenn.Selfe@austintexas.gov)>  
**Subject:** RE: Questions about council budget questions

I'll work on it now.

Thanks,  
Robert

---

**From:** Hayden, Stephanie  
**Sent:** Tuesday, August 30, 2016 10:54 AM  
**To:** Miller, John M. [HHSD] <[JohnM.Miller@austintexas.gov](mailto:JohnM.Miller@austintexas.gov)>; Riley, Chris [HHSD] <[Christian.Riley@austintexas.gov](mailto:Christian.Riley@austintexas.gov)>; Kingham, Robert <[Robert.Kingham@austintexas.gov](mailto:Robert.Kingham@austintexas.gov)>; Selfe, Glenn <[Glenn.Selfe@austintexas.gov](mailto:Glenn.Selfe@austintexas.gov)>  
**Subject:** RE: Questions about council budget questions

Robert  
Can you provide this response today?

Thanks

---

**From:** Miller, John M. [HHSD]  
**Sent:** Tuesday, August 30, 2016 10:23 AM  
**To:** Riley, Chris [HHSD] <[Christian.Riley@austintexas.gov](mailto:Christian.Riley@austintexas.gov)>; Hayden, Stephanie <[Stephanie.Hayden@austintexas.gov](mailto:Stephanie.Hayden@austintexas.gov)>; Kingham, Robert <[Robert.Kingham@austintexas.gov](mailto:Robert.Kingham@austintexas.gov)>; Selfe, Glenn <[Glenn.Selfe@austintexas.gov](mailto:Glenn.Selfe@austintexas.gov)>  
**Subject:** FW: Questions about council budget questions

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**From:** Woodard, Mark  
**Sent:** Tuesday, August 30, 2016 10:05 AM  
**To:** Miller, John M. [HHSD] <[JohnM.Miller@austintexas.gov](mailto:JohnM.Miller@austintexas.gov)>  
**Subject:** RE: Questions about council budget questions

I am not sure what happened here? But here is te question...

Thanks John!

---

**From:** Miller, John M. [HHSD]  
**Sent:** Tuesday, August 30, 2016 9:58 AM  
**To:** Woodard, Mark <[Mark.Woodard@austintexas.gov](mailto:Mark.Woodard@austintexas.gov)>  
**Cc:** Riley, Chris [HHSD] <[Christian.Riley@austintexas.gov](mailto:Christian.Riley@austintexas.gov)>; Colter, Courtney <[Courtney.Colter@austintexas.gov](mailto:Courtney.Colter@austintexas.gov)>; Khazei, Nabil <[Nabil.Khazei@austintexas.gov](mailto:Nabil.Khazei@austintexas.gov)>  
**Subject:** RE: Questions about council budget questions

Mark,

We never received 146, can you send that over to us?

---

**From:** Woodard, Mark  
**Sent:** Monday, August 29, 2016 11:53 AM  
**To:** Miller, John M. [HHSD] <[JohnM.Miller@austintexas.gov](mailto:JohnM.Miller@austintexas.gov)>  
**Cc:** Riley, Chris [HHSD] <[Christian.Riley@austintexas.gov](mailto:Christian.Riley@austintexas.gov)>; Colter, Courtney <[Courtney.Colter@austintexas.gov](mailto:Courtney.Colter@austintexas.gov)>; Khazei, Nabil <[Nabil.Khazei@austintexas.gov](mailto:Nabil.Khazei@austintexas.gov)>  
**Subject:** Questions about council budget questions

Good morning,

I have a couple of question about CBQ's:  
Can you check on CBQ's 132 and 146?

174: Looks like the draft answer refers to an attachment, but I did not see/receive the attachment...  
Do you have that?

150: Spreadsheet: the final entry (New SS contracts) probably needs some explanation and there is a chance that the columns themselves may need a bit more explanation for council (what does the

90% unduplicated mean? Can you define “Number of Outcome (Result) Measures Met”?)

These were Tina’s comments on 150:

150: on the chart it seems that the last row is a “new” item and doesn’t have the data populated for the columns-should it? Are the numbers the contract budget or the actual expenditures? Where these goals met in the same FY as the funding? (I am probably thinking too multiyear but the response isn’t that obvious to me) also I just don’t understand health enough to understand the client goals and the measures met –what that actually means – if it is common knowledge then just enlighten me otherwise I think they should perhaps elaborate on a description of it?

I think there is 1 outstanding CBQ for ASO about coyote’s too.

We have a big push this week to wrap up any outstanding questions, so please help out as you have time.

Thanks!

**Mark L. Woodard**

Budget Analyst Senior

City of Austin, Financial Services Department, Budget Office

(512) 974-7962

[mark.woodard@austintexas.gov](mailto:mark.woodard@austintexas.gov)