/ Office of Innovation

Standard Operating Procedure for the MASTER INTERLOCAL AGREEMENT No. UTA19-000382 BETWEEN THE CITY OF AUSTIN, TEXAS AND THE UNIVERSITY OF TEXAS AT AUSTIN FOR RESEARCH, CONSULTING, AND TECHNICAL ASSISTANCE

Date / June 2022

Version / 2.0 - approved for usage

1.0 / Purpose

A core mission of the Office of Innovation (OOI) is to provide guidance, tools, and support to create a culture of innovation at the City of Austin. One important way to accomplish this mission is by facilitating and enhancing collaborations that yield the necessary research to advance innovation.

The purposes of this Standard Operating Procedure (SOP) are to:

- Provide a general **background** of the City's Interlocal Agreement (the Agreement) for research-based projects with the University of Texas at Austin (the University).
- Clarify **City staff roles, tasks, and responsibilities** pursuant to the terms and processes established by this Agreement.
- Provide an overview of the **process** for project approval and completion under this Agreement.
- Clarify **key requirements and considerations** for employing this Agreement.
- Provide transparency to users on **selection criteria** for projects.

2.0 / Background

The City and the University have a City Council-approved master interlocal agreement in place effective October 1, 2020 through October 1, 2025 that provides the legal and administrative framework to enable research projects (projects), each of which is established via a Work Order issued pursuant to the Agreement:

> *"WHEREAS, the University is considered by the City to be qualified to conduct research projects (the "Projects") on the performance of the City's governmental functions, so as to allow the City to identify innovative solutions for serving City residents and addressing local challenges."* (City of Austin-University of Texas at Austin Master Interlocal Agreement, UTA19-000382, 2020, p. 1)
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> *"WHEREAS, both Parties desire to enter into this Master Agreement to outline common terms and streamline the process of researching the performance of the City's governmental functions, so as to promote innovation, develop new insights, and otherwise assess how the City can best carry out the performance of governmental functions in the 21st century."* (City of Austin-University of Texas at Austin Master Interlocal Agreement, UTA19-000382, 2020, p. 2).

The purpose of the Agreement is to establish pre-negotiated terms and conditions, as well as a framework for research, consulting, and technical services to be exchanged between the University and the City. As stated in the Agreement, projects that may be taken on under this Agreement may include, but are not limited to:

> *"Academic research involving University faculty, staff, or students;*
> *II. Community-based research;*
> *III. Program evaluation;*
> *IV. Best practice studies*
> *V. Strategic planning assistance;*
> *VI. Data analysis;*
> *VII. Survey research; and*
> *VIII. Use of City departments / services / data for academic research by faculty or students."*
>
> *(City of Austin-University of Texas at Austin Master Interlocal Agreement, UTA19-000382, 2020, p. 2).*

Council has authorized the City to spend a total of $10 million under the Agreement over a five-year term.

> *The total compensation under this Master Agreement shall not exceed ten million dollars ($10,000,000). The Parties must both agree to and sign a Work Order before commencing a Project described in a Work Order* (City of Austin-University of Texas at Austin Master Interlocal Agreement, UTA19-000382, 2020, p. 3).

Interlocal agreements in the state of Texas are authorized and governed by Chapter 791 of the Texas Government Code.

Under Chapter 791, a local government (such as the City) can contract with a state agency (including a public university) or another local government (such as a county or another city) to (1) study the feasibility of performing a governmental function or service by an interlocal contract or (2) provide a governmental function or service that each party to the contract is authorized to perform individually. The parties can also enter into a contract to purchase goods and services, as provided in Texas Government Code 791.025.

All interlocal agreements–and any amendment to an interlocal agreement–must be approved by Council before the agreement or amendment signed by an authorized representative of the City. Since the Master Agreement is an interlocal agreement, any amendment to the Master Agreement must be approved by Council. The Master Agreement provides the legal framework that governs all Work Orders.

However, when Council approved the Master Agreement in August 2020, Council authorized departments to enter into Work Orders for research projects without having to obtain additional Council approval. Thus, a department can enter into a Work Order under the Master Agreement without seeking advance Council approval, as long as (1) the Work Order is consistent with the terms of the Master Agreement and state law and (2) the expenditure for any work performed would not cause the City to exceed the total expenditure limit that Council has established for the Master Agreement. All Work Orders must be reviewed and approved by an assistant city attorney before they are executed by the City and the University.

Departments should always use their best professional judgment and utilize ethical practices when deciding to employ this Agreement. Each department must also follow all their internal policies for purchasing and obtaining formal management approval. The Agreement includes the City's standard audit- and termination-related clauses, which you should review and understand before structuring a project under the Agreement.

The Agreement can be utilized for "zero dollar" projects as well as for projects where the City pays the University for its work. In other words, the Agreement can be leveraged for a project between the City and the University that will not include any financial transaction but that still needs a binding arrangement governing the parties' roles and responsibilities, data sharing, specifications and requirements for work performed, and deliverables.

All data sharing should be consistent with applicable City requirements and guidelines governing data sharing–especially when personal identifiable information is shared. (Prior to executing a Work Order involving data sharing, a department should consult with the Law Department and the City's Privacy Office to ensure that data sharing is consistent with applicable laws and the City's privacy requirements and guidelines.) The data sharing components in the Agreement may be used to safeguard the City's data—provided that the City accurately identifies the category of data involved (such as Confidential Information or Personal Information) so that the University will understand how the data shared pursuant to the Work Order should be protected.

A City department may potentially be able to provide some input to or be a limited participant in a student class project without the terms and conditions and legal bindings of a contract, and without the use of this Agreement.

The Agreement does not establish a requirement that all research-based projects between the City and the University must be done under this Agreement . *However, in practice, the University currently requires all new research-based projects between the two entities that require the sharing of data, transfer of funds, goods or services, significant staff time or effort, or any contractual mechanisms to employ this Agreement.* This excludes classroom projects and thesis-related research.

The City and the University are the only parties to the Agreement. Either party may hire a subcontractor, but in practice, subcontractors would generally be hired by the University since the University is responsible for performing research and other work contemplated under the Agreement. In the event that the University hires a subcontractor, the University will do so through a separate agreement with that subcontractor, and the subcontractor will not be made a party to the Agreement or any Work Order issued under it. The Work Order process between the City and University would proceed as usual (directly between the City and University only) since these are the only parties to the Agreement.

3.0/ City Staff Roles and Responsibilities

While there will likely be many individuals working together in various capacities to formulate and initiate a project, there are four essential City roles that must be identified at the onset.

Research and Strategic Initiatives Team (Office of Innovation)

The representative from the Research and Strategic Initiatives (R&SI) team who facilitates the collaborations between the City and University is referred to as the R&SI “Liaison.” While the R&SI team owns and manages the overall process supporting the Agreement (see the “Process” and “Documents and Meetings” sections of this document, in particular), the Liaison is not expected to be an expert in the fields for which they facilitate collaboration. The Liaison needs to understand what success looks like for both the City and University under the Agreement and be familiar with City requirements and policies that University researchers may not understand (i.e. City processes and rules, organizational structure, and decision making policies). Consequently, the Liaison is expected to be able to discuss possible collaborations under the Agreement with authority, confidence, and as a trusted colleague.

Project Manager (Client/Sponsor Department)

A department must assign a Project Manager to partner closely with the R&SI Liaison to ensure that the right City staff are included, project goals and requirements are understood by everyone, established processes are followed, and all required documentation is completed and approved. The Project Manager is the sponsor department's technical and/or business authority for a proposed Work Order.

The Project Manager will include their department's Contract Representative (see following section) as early as is feasible to make sure all purchasing rules and processes are followed, funding is available, and Work Order(s) are developed appropriately. It is the responsibility of the sponsor department to negotiate all project costs with the university.

Once a Work Order is in place, the departmental Project Manager is the project's direct point of contact for the University and other partners. Project Managers are accountable and responsible for evaluating, receiving, managing, and recording the deliverables provided. They also field questions regarding contractual obligations and work to resolve minor day-to-day performance issues that may arise. Project Managers ensure project success for their respective departments.

Note: While "Project Manager" is the term used in the ILA language, the Sponsor Department can assign additional staff to perform more traditional project management tasks and responsibilities. The Project Manager assigned as the lead and Departmental single point of contact as described above does not necessarily have to fulfill the role *of the person who manages the day-to-day coordination of the project itself.*

Authorizing Department Contract Representative

For all intents and purposes, a Work Order under this Agreement should be treated as any other professional services contract, *without* the need to go through the consultant selection or Council approval processes.

The Authorizing Department Contract Representative is the sponsor department's single point of contact for processing the Agreement and should work closely with the

Project Manager to develop a scope of work for the University's representative to use as a basis for a work plan and cost proposal. For some departments, the Contract Representative and the Project Manager may be the same person.

Once the department decides to move forward with a proposed scope and a budget, the Contract Representative should ensure that sufficient funding is available for the project in the department's budget. The Contract Representative shall request a DO be issued *after* the Work Order is signed/executed by all required signatories. The Contract Representative should work with the Project Manager to ensure the department's procurement policies and contract management goals are met. Once the Work Order has been executed and the work is being invoiced, the Contract Representative should ensure all expenditures are authorized by the Project Manager.

The following are the *general* steps for the Contract Representative, but each department should follow their established protocols:

- Create a contract folder for the Work Order and keep signed copies of Work Orders, DOs, invoices, etc.
- Work with the Project Manager, University Representative(s), and R&SI team to develop an acceptable Work Order.
- As soon as the Work Order is signed, submit a requisition for the creation of the DO.
- Send copies of the DO to the Project Manager and R&SI Liaison and save a copy to the contract folder. The R&SI Liaison will provide the spending authorization, if needed.
- Ask the Project Manager to take the lead scheduling the Kick-off Meeting with themselves and whomever else they want to go from their business unit/team, the research team, and members from the R&SI team.
- Work with the Project Manager to create a Kick-Off Meeting Agenda for this contract, following the guidance provided in the "Kick-Off Meeting" section of this document.
- Ongoing tracking of schedule and invoicing through the term of the Work Order.

Per the City's "Interlocal Documentation and Reporting Policy" **(see Appendix 08.02)**, *every* Interlocal agreement entered into by City staff is required to be captured in Advantage by entering either a Master Agreement or Non Encumbering Document (NED). This will enable tracking and monitoring of Interlocal contracts in eCAPRIS, the City's contract monitoring system.

Work Order Amendment:
There may be cases when the original terms of a Work Order need to be changed. These changes can be made by a written amendment signed by all City and University representatives who were required to sign the original Work Order. Amendments can make changes to the scope, budget, schedule, or other terms of a previously executed Work Order. (Neither a Work Order nor an amendment to a Work Order may amend the terms of the Master Agreement. Council approval is required to amend the Master Agreement, as explained in Section 2 of this SOP.)

The most common types of Work Order amendments are renewals or extensions. A Work Order renewal is when the sponsor department wants to extend the study period or adjust the scope in the next Work Order period. The Contract Representative should work with the Project Manager and University representative to develop a new scope, schedule, and budget for the renewal. An extension is typically a no-cost extension of the completion date for the Work Order. The Contract Representative should check with the Project Manager at least three months before the contract's expiration date to see if a renewal or extension is needed. If the Project Manager wants to renew or extend the Work Order, the Contract Representative should notify the R&SI team of this intent.

For those Work Order amendments requiring additional funding, the sponsor department will submit a requisition for services following their department's requisition process. Before doing so, the R&SI team will need to verify that the City is still within the expenditure limit authorized by Council. If the limit has been exceeded and the additional amount is above Council limit, Council authorization will be needed for further spending under the Agreement.

After the R&SI team has verified that the City is still within the contract's expenditure limits, the Contract Representative should then send an email to the Department's point of contact at Central Purchasing stating that the Department would like to renew the contract for how much and for how much longer. Renewals depend on the structure of the original Work Order. If you foresee the need for renewals, please work with the Law Department to include renewal options in the original Work Order.

All amendments must be submitted to the person from the Innovation Office who has been assigned as the lead for the Work Order and be reviewed and approved by Law. Also, all amendments will need to be signed by the persons who would be required to sign a Work Order: Sponsor Department director, Sponsor Department Project Manager, Assistant City Attorney assigned to the Work Order, and the university's authorized representative. The Innovation Office will facilitate this process.

Attorney Review

The Law Department has an assistant city attorney assigned to assist with the Agreement process. The R&SI Liaison will connect the Project Manager with this attorney as the Work Order is being developed to provide legal review of the Work Order and assist with any legal questions. The Project Manager is required to obtain the assistant city attorney's signature (approving as to form) on the final Work Order. The assistant city attorney will generally be the first City representative to sign the final Work Order, ensuring that City personnel are aware that the Work Order terms have received legal review and approval.

An assistant city attorney in the Law Department reviews every draft Work Order to ensure that:

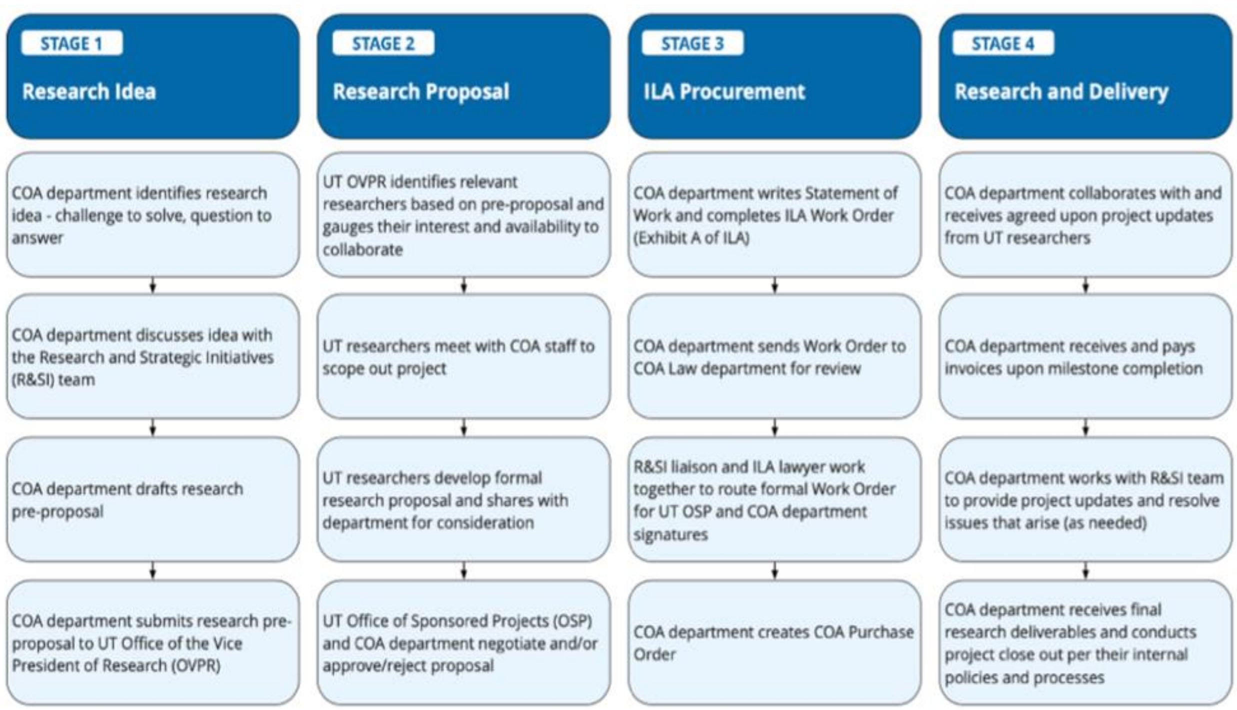
- The Work Order is consistent with the terms of the Master Agreement.
- The Work Order is consistent with the terms of the Texas Interlocal Cooperation Act (codified at Texas Government Code 791) and any other applicable laws.
- Any other applicable legal requirements are met (including the need for a municipal public purpose).
- The need for applicable data security requirements is correctly identified, based on information provided by the Project Manager.
- The roles and responsibilities of the parties are clearly identified.
- Any binding obligations of the parties, including deliverables and deadlines, are clearly identified.
- Any issues with third parties are appropriately handled (i.e., no third party is incorrectly identified as a party to the Work Order or Master Agreement, and any involved third party is a contractor of the University or City, as provided in a separate agreement between that party and its contractor).

The Law Department works with the client department to revise and finalize the Work Order. Once this process is complete, the Law Department will work with the R&SI Liaison to determine who will send the City's final draft of the Work Order to the University for review. At this point, the R&SI Liaison will remove the "draft" watermark and add the Work Order number to the document (see the "Work Order" section of this document). If the R&SI Liaison sends the Work Order, the Liaison will cc the attorney who reviewed the Work Order to ensure that Law is aware of any changes that the University proposes. If the attorney sends the Work Order, the R&SI Liaison should be cc'd. Once the City and University have agreed on final terms for the Work Order, the reviewing attorney signs to approve as to form. The attorney then sends the Work Order to the University's Contracts team supporting the Office of Sponsored Projects for signatures. Currently, the main contact is Monini Patel (monini.patel@austin.utexas.edu), but the R&SI team will assist in the case of any questions or issues getting it to the correct individual. Each of the work orders are reviewed and facilitated by the Contracts Coordinators, dependent on constituency (i.e. UT unit) assignment (see here). Even though the R&SI team member assigned to facilitate the process does not provide a signature, they should be cc'd on all related email communications with Law.

Once the Work Order has been signed by both the City attorney and University, the R&SI Liaison will then route the Work Order for the signatures of the City Project Manager and the Director (or equivalent City official overseeing the City department/office that will manage the Work Order). Upon acquiring all signatures, the R&SI Liaison will ensure all parties receive a copy of the fully executed Work Order.

4.0 / Process

The following section provides the high-level, step-by-step process for how City staff can take a research question or problem and enter into a Work Order with the university under the Agreement. Additional details, explanations, advice, and examples are included in following sections.



While the process is designed to be simple and as streamlined as possible, it is required for City staff to work with the R&SI team. The R&SI will work as a trusted guide and consultant to City staff throughout the process. Because each project is different and two large, complex organizations are involved, it is difficult to determine a timeline for the following steps. Based on experience, however, it would be prudent to ***plan at least ten weeks*** from the submission of a pre-proposal to a fully executed Work Order.

Stage 1: Research Idea

- The City department identifies a research idea, challenge to solve, question to answer, etc.
- If needed, the City department reaches out to the R&SI team for consultation on the initial vision and to have early questions and concerns addressed
- The City department obtains approval from their management to move forward with the research and to employ the Agreement
- The City department notifies the R&SI team and is assigned a R&SI Liaison
- The City department drafts research pre-proposal (see following "Pre-Proposal" section for more information and link to the form)
- The City department submits research pre-proposal via online form to the university's Office of the Vice President of Research (OVPR) and the R&SI team.

Note: University researchers may also initiate research pre-proposals

- The OVPR and R&SI team jointly reviews submitted pre-proposal and obtains any additional information from originator
- The R&SI team notifies originator of next steps to advance to Stage 2
- OR
- If the University determines that the pre-proposal is not a good fit, the R&SI Liaison will notify the originator and recommend possible alternatives

Stage 2: Research Proposal

- The University's OVPR consults with the R&SI Liaison and identifies relevant researchers based on pre-proposal and gauges their interest and availability to collaborate

Note: In the case of a research pre-proposal initiated by the University, the R&SI team will first determine if the submission might be addressed by directing the researcher to the City's Open Data Portal (data.austintexas.gov) or any other publicly available information or resource(s). If not, the R&SI staff will identify, contact, and work with relevant City staff to gauge their interest and availability to collaborate. If the City department is not interested, the R&SI Liaison will notify the University lead. Otherwise, the following steps are the same.

- The University OVPR assigns a lead from their team to the project
- The University OVPR lead and R&SI Liaison work together to arrange a Discovery meeting between the City department and University researchers (see following "Discovery Meeting" section for more information)
- Facilitated by the University lead and R&SI Liaison, researchers meet with the City staff to discuss the vision for the project, initial approaches and scope, and any significant constraints and risks
- If the City and University agree to move forward, the University identifies a Principal Investigator (PI) to develop a formal research proposal
- Upon receiving the proposal, the City department evaluates, provides any questions and feedback, and shares with department management for further consideration and approvals (see following "Proposal" section for more information)
- The University PI and the City department work together to produce a "final" Proposal
- The City department reviews Proposal with project team, applicable stakeholders, management, and purchasing/contract staff
- Once all internal processes for review and approval are conducted, the City lead notifies the R&SI Liaison of the decision
- If Proposal is approved, the process advances to Stage 3

OR

- If the City department decides not to proceed, the R&SI Liaison will notify the University lead

Stage 3: Procurement

- The City department writes a Statement of Work and completes the Agreement Work Order (Exhibit A of the Agreement), with consultation from

their R&SI Liaison as needed (see following "Pre-Proposal" section for more information)
- The City department lead sends draft Work Order to their R&SI Liaison
- The R&SI team reviews and provides feedback and questions
- Once feedback and questions are addressed, the R&SI Liaison sends the draft Work Order to the City Law Department
- The City Law Department reviews and works with the City department sponsoring the Work Order to make any revisions. The R&SI Liaison should generally be included on e-mail communications between the sponsoring department and Law
- An assistant City attorney assigned by the City Law Department lets the R&SI team know that the document is ready for signatures
- After removing the "draft" watermark, the R&SI team assigns and adds the Work Order number (see below "Work Order" section), and routes back to the City attorney to sign and work with the University for its review and signatures
- If needed, the City Law Department works with the City department lead and University to review and negotiate any revisions proposed by the University
- After the University has signed the Work Order, the R&SI team then routes the Work Order to the City Project Manager, who is then responsible for signing and obtaining the signature of the Director or equivalent
- Following all departmental purchasing policies and practices, the City department lead provides notification to proceed, funding codes, and required documentation to their purchasing team to release funds and create the City Purchase Order

Note: Because purchasing policies and practices can vary across the organization, it is important that the City lead work closely with their purchasing team throughout this Stage. For example, some departments request that the Research and Strategy team provide written authorization for the department to spend funds against the Master Agreement. For more information, please see the City's Procurement Manual:

https://cityofaustin.sharepoint.com/sites/FSD/PurchasingCityWide/Shared%20Documents/Procurement-Manual.pdf

Stage 4: Research and Delivery

Note: At this point, the project is led according to the direction set by the City department lead and supported by the University's PI. While the R&SI Liaison is always available to answer Agreement-related process questions or assist with further coordination with the University, matters of project management – day-to-day activity tracking, reporting to *stakeholders and management, resource scheduling, processing milestone payments, budget monitoring, change control, risk mitigation, issue escalation, etc. – are the responsibility of the department managing the Work Order (that is, the department where the City Project Manager works).*

- The City department works with the University PI to schedule and facilitate Project Kick-off meeting (see following “Project Kick-off Meeting” section for more information)
- The City department collaborates with and receives agreed-upon project updates from the University researchers
- The City department receives and pays invoices upon milestone completion
- The City department Project Manager completes a formal Project Closeout Report (provided by the R&SI Liaison) at the end of the project (see following “Project Closeout Report” section for more information)
- The City department receives final research deliverables and conducts project and contract close-out per the Department’s internal practices and policies

While the process is designed to be simple and as streamlined as possible, we recommend working with the R&SI team as a trusted guide and consultant throughout the process. Because each project is different and two large, complex organizations are involved, it is difficult to determine a timeline for the following steps. Based on experience, however, it would be prudent to plan *at least* ten weeks from the submission of a pre-proposal to a fully executed Work Order.

5.0 / Documents and Meetings

Pre-Proposal and Intake

Completion of this online form is considered the first step in officially starting the process:

This form is for current City staff and University PIs. The information provided on this form is used to signal formal interest and used by the R&SI and University team to match City departments with University researchers. The person submitting the pre-proposal is the “originator.” Even if the originator has an existing relationship with the other organization and/or a more advanced conception of a proposal, the pre-proposal step is still required for tracking and monitoring purposes. The submission of this form does not commit anyone to a project. Further, there is no guarantee that a match will be found within a predetermined time frame *or even at all*. Regardless, a response will be given within two weeks for every proposal clarifying a next step.

Most of the questions and items to which the originator will be prompted to respond are very basic and straight-forward. Here are those that would be helpful to have in mind beforehand:

- What questions are you trying to answer *or* problems are you trying to solve through research?
- What keywords are associated with the project?
- To which SD23 Goal does it align?
- With whom at the university have you discussed this project already?
- What is the anticipated timeline? Are there any significant dependencies or constraints along that timeline?
- What is the estimated budget?

The more the project idea has been considered and discussed with others, the quicker it will be to complete the form. Regardless, it requires less than thirty minutes. It is perfectly acceptable to not know the answers to some questions or only provide educated guesses. This information creates an exploratory inventory for the R&SI team and University counterparts (from this point forward, the term “Project Team” will designate the team when it is composed of members from *both* the City’s R&SI team and the University’s Office for Research) to assess initial thoughts and ideas, compare with other pre-proposals to reduce possible overlap or suggest combinations, and start creating a plan for possible collaboration partners.

Upon submission, an acknowledgment email will be received (**see Appendix for example**) by the originator. The OVPR and R&SI team will also receive the notification. The university team transfers the information from the submitted pre-proposal form into the co-managed Project Intake Tracker sheet (contact the R&SI team to obtain a view of this sheet). The OVPR and R&SI team meets bi-weekly to review all submissions and can usually follow-up with the originator within a subsequent two to three days with any follow-up questions for clarification or more detail, next steps, or possibly even an introduction to potential collaborators. That being said, this team makes it a preferred practice to review pre-proposals as they are received to start the process as early as possible and also encourages any follow-up from the originator.

Discovery Meeting

Once identified City staff and University researchers review a pre-proposal and agree there are promising opportunities for collaboration, the City Liaison will coordinate and facilitate a Discovery Meeting. The purpose of this meeting is to make introductions between the key City and University members, discuss the content of the pre-proposal, and raise any initial questions or concerns. For this meeting, the City Liaison will:

- Identify the needed meeting attendees
- Coordinate meeting logistics
- Propose an agenda
- Kick off the meeting and facilitate discussion
- Prepare meeting recap and next steps and distribute to attendees after the meeting

Because this meeting is often the first time for City staff and University researchers to meet to consider the topics, there are no expectations that significant decisions or commitments will be made. More meetings, correspondence, and consultation with others will likely be required before the decision is made as to whether to develop a Proposal. The City Liaison and University counterparts are available at this point to coordinate and facilitate further meetings and communications. While the City R&SI Liaison should be supportive and serve to ask the right questions and prompt careful consideration, the decision to halt or proceed to the next steps in the process will be made by the City department that is considering whether to sponsor the project.

<u>Project Proposal</u>

Once the City and University leads have met, discussed the research in some depth, and agreed that a project will be worthwhile and feasible, the University PI develops a Proposal to submit back to the City. The PI -- as the research leader ultimately responsible for the project – leads and often supervises the University research team. Due to the variety of possible approaches and freedom permitted to their PIs for research activities, there is not a standard template used across the University for Proposals. Examples of successful Proposals are available from the R&SI team upon request.

Good, actionable Proposals tend to include the following components:

- Background/Context
- Purpose and Goals
- Proposed Research Areas and Approaches (e.g. literature review, data gathering and analysis, prototyping)

- Expected Outcomes
- Estimated Timeline and Budget (Direct and Indirect Costs)
- Project Team Composition

It is important to realize that even though the teams should have a solid understanding of the proposed work and desired outcomes, this is still relatively early in the process and relationship. It is not uncommon to have several rounds of follow-up questions and incorporation of feedback from the City. Proposals may use imprecise language that allows some latitude for interpretation and any timelines and budgets should not be seen as inviolable commitments. The Proposal is *not* a contract or formal agreement.

Based on the Proposal, the Department decides whether to proceed. If the decision is made to move forward, the Department should make certain all internal City and departmental policies and practices are followed to obtain departmental leadership's approval, notify stakeholders (including the R&SI Liaison), and verify budget. Also at this point, it is very important to make departmental purchasing and contract staff aware of the plan and that their assistance will be needed. If the Department does *not* wish to proceed any further, they should notify the University PI and R&SI Liaison as soon as possible. Once all stakeholders agree on the plan to move forward, the R&SI team will work with the Department lead to initiate the Work Order.

<u>Work Order</u>
The central legal document governing a research project is the Work Order. Each Work Order is governed by the terms of the Master Agreement between the City and the University. Individual Work Orders are issued pursuant to the Master Agreement and do not constitute separate contracts.

A Work Order is required for every project under the Agreement. It often incorporates much of the content from the Proposal and provides complete and in-depth descriptions of the activities and establishes clear, evidence-based expectations for performance and delivery. The Work Order will be reviewed and approved (via signatures) by the Department Project Manager, Department Executive (typically a Director or equivalent), City Law, and the University's authorized representative. See Sections 3 and 4 of this SOP for more information.

Work Order signature order:

1. Assistant City attorney assigned to review the Work Order by the City Law Department

2. Designee from the University's Office of Sponsored Projects
3. City Department Project Manager
4. The City Department Executive

While the City Department Executive is typically the last City signatory to sign off on the Work Order, the Project Manager is *highly encouraged* to keep their Management informed and supportive throughout the process, so that the Executive is prepared to affix their signature when the time comes.

Each Work Order receives a unique number for reference and tracking purposes. The R&SI Liaison will provide this number to the assistant city attorney reviewing the Work Order once the attorney has approved and is ready to sign. The R&SI team will assign and insert the Work Order number on the title section of the first page. The R&SI Liaison will assign the "Work Order No." using the following numbering system:

Fiscal Year (20XX) – Ordinal Number of Work Order owned by that City Department (XX) - Acronym of Partner Organization (UT) – Acronym of City Department (XYZ)

To illustrate, if the third Work Order since the beginning of the fiscal year from the Austin Transportation Department has been approved by the reviewing attorney and will receive all its signatures in November of 2023, the Work Order number provided by the R&SI Liaison will be: **2024-03-UT-ATD**.

Only upon full approval of the Work Order can a contract be put in place and purchasing mechanisms activated (if needed).

The driving section of the Work Order and the one that should warrant the most time and attention is the Statement of Work. Its primary focus is on the provision of research services, but may include project management activities, and products or equipment required to perform the research.

A good Statement of Work for a research project:

- Identifies and clearly describes minimum requirements
- Identifies the test methods and defines performance/acceptance metrics to be used to verify compliance with the requirements
- Contributes to obtaining best value at the lowest possible cost using a fair, equitable, and transparent rubric
- Identifies performance, quality, and operational characteristics

- Avoids ambiguity while allowing for built-in flexibility
- Is written in terminology understood by the target audience

The Work Order includes *pre-approved* and *pre-negotiated* terms and conditions and data security requirements. Each project team should review them and notify Law in the case of any exceptions or needed special provisions.

If the project will take place over several years and/or require renewals, it should be clearly stated in the Work Order.

While the Work Order is developed with contributions from the University PI and with assistance from Law and the R&SI team, it is the responsibility of the Department to complete the document and initiate the approval process by notifying the R&SI Liaison. The R&SI team will work very closely with Law to ensure revisions are made and signatures are obtained as smoothly and as quickly as possible. Because there are several steps and people involved with getting the Work Order fully approved, the Department should inform the R&SI team of any deadlines so they can provide awareness to all parties and make any reasonable accommodations.

The Work Order template can be found here and completed examples are available from the R&SI team upon request.

Project Kick-off Meeting

With a fully executed Work Order in hand, the City Department Lead and University PI are authorized to officially begin the project. While a Project Kick-off Meeting is not required, it is highly encouraged. These meetings serve as an excellent way to help the project teams get to know each other, establish shared visions, set performance expectations, normalize methods and processes for communications, project reporting, change management, processing payments, etc., and address any initial questions or concerns. The R&SI Liaison and University counterparts are available to consult on the agenda, but the City Department Lead(s) and University PI(s) are responsible for coordinating and leading the meeting.

A Project Kick-off Meeting typically includes the following:

- Staff introductions, including roles and responsibilities, and contact information
- Project presentation by the University to review the research to be conducted, approaches to be employed, and expected outcomes
- The City Department Lead (perhaps along with a Department Contract Specialist)

clarifies critical terms and required deliverables and deadlines – ensuring that parties on both sides understand their responsibilities – and indicates where in the Work Order these may be found. This includes discussing the City's general expectations and both parties' responsibilities, as well as specific topics of concern (if applicable), such as:

- Invoicing procedures, requirements, and payment terms
- The City's right to audit
- The City's ability to terminate the contract
- Data sharing and usage requirements
- Required deliverables and their deadlines

- Overview of project management plan
- Any onboarding information about facilities where work will take place, e.g. building access, parking, hours of operation, Wi-Fi, etc.
- Plan for next steps and future meetings

Project Closeout Report

Project teams are encouraged to implement tools and processes to keep their efforts on time, on budget, and within scope. Because every project and team are different, there are no standard project management methodologies or documents required by the City or University. The project's R&SI Liaison is encouraged to "check-in" with the City Project Manager on a regular basis. However, at the end of a project, the R&SI team will ask the City Project Manager to complete and submit a mandatory "Project Closeout Report" by sending them the following link on or around the "remain in effect until" date stated in the Project Timeline section of the Work Order.

The data collected from these forms are used to update City Management, City Council (via the Audit and Finance Committee), and the University's Office for Research on the status of individual projects and the overall performance of the Agreement program. Here is the link to edit the report form and see responses.

6.0 / Key Requirements and Considerations

Checklist

The following checklist condenses key requirements and considerations to ask yourself when developing research-based projects under the Agreement. While you do not have to answer "yes" to *all* of these questions, it is advisable that you think them through with your team and management as you prepare a pre-proposal. **You may not know answers to each question up front, and you can consider them with the help of the R&SI staff.**

Checklist for Research-Based Projects

___ Have you vetted your ideas for a research project with the R&SI team? (If not, please Contact: charles.purmaiii@ausintexas.gov.)

___ Does your project have a clear, justifiable Municipal Purpose (see following section)? Will all the money and resources committed to the project be in aid of advancing a public purpose?

___ Is the project solely research-based? In other words, is your project focused on increasing the stock of knowledge necessary to better serve the community?

___ Have you vetted your ideas with your management?

___ Is your research necessary or discretionary? Would your work be significantly hindered without the research?

___ Have you confirmed that research needs *cannot* be met by existing staff, additional staff, or bandwidths contracted for through other types of business contracts? I.e., can your project needs only be achieved from a research-based project?

___ Is the necessary subject matter or methodology expertise best available from a university?

___ Have you developed a budget and identified funding sources for your project?

___ Are you willing to co-create the project scope with university PIs, while considering their unique constraints?

___ Can your project employ a "human-centered" approach?

___ Can your project leverage civic and resident participation?

___ Have you self-assessed your ideas with the City's Equity Analysis Worksheet?

___ Have you developed a list of milestones and deliverables?

___ Have you established a high-level timeline with critical deadlines and dependencies?

___ Have you defined what success looks like? Do you have a clear idea of desired outcomes?

___ Have you developed a list of possible team members and vetted your ideas with them?

___ Have you defined your key stakeholders (i.e. those to whom you will be accountable)?

Municipal Purpose

Projects under the Agreement must serve a public purpose. Under Article III, Section 52(a) of the Texas Constitution, a city can only spend public money (or grant a thing of value) in aid of a *public* purpose. While there can be incidental private benefits, public benefits must be clear and tied to the money and resources spent on the project.

Some examples of public purposes include, but are not limited to, City operations such as:

- Animal control
- Building codes and inspection
- Digital access and service delivery
- Emergency preparedness and response
- Fire prevention and protection
- Garbage and solid waste removal, collection, and disposal
- Library and museum services
- Parks and recreation
- Policing
- Public health and welfare
- Traffic regulation
- Waterworks and water/sewer service
- Zoning, planning, and plat approval

While it's clear that the normal day-to-day business of the City falls within the realm of a well-recognized public purpose, it might be less clear when dealing with research – particularly in areas where new theories, practices, and technologies are emerging. In these instances, the Office of Research and Strategic Initiatives (R&SI) will assist in engaging the City's Law Department to provide the legal analysis to assess whether a sufficient public purpose has been identified. When there is any doubt of municipal purpose, discussion with the R&SI team is encouraged – a research proposal lacking a public purpose will not be supported by the Agreement.

Focus on Research

All projects under the Agreement, research, consulting, or technical assistance related, are required to be *research-based*. The City's working definition of *research* is:

> "*A process of discovery that increases the stock of knowledge necessary to better serve the community.*" (City of Austin Office of Innovation, Research and Strategic Initiatives Team, 2022)

To be considered *research-based*, projects under the Agreement must:

1. Address a real research question aimed at increasing the stock of knowledge necessary for the City to better serve the community

AND

2. Be shaped to yield the discovery of things one would not have discovered alone, without engaging in research, i.e. unless you engage in research activities, you would not be able to uncover answers to your research questions from your normal programmatic or day to day activities.

The Agreement cannot be used to fulfill non-research-related business needs that can be fulfilled through regular staff or otherwise contracted for through other types of business contracts.

Because the focus of this Agreement is on the delivery of research services, it *cannot* be used to purchase goods or commodities. While there may be instances where the university provides a physical deliverable (e.g., a printed report or 2D map of negligible value) as a reflection of their research, the City cannot use this agreement to purchase commodities such as computers or microscopes. If the City does identify the need to purchase a good or commodity as a result of research, a separate contract is required.

The Agreement may not be used to enter into an agreement with a party other than the University of Texas at Austin (although either party may hire a subcontractor, which must be contracted and managed by that party). The Master Agreement also may not be used as a contracting mechanism to agree to allow the university to use City property, to purchase materials and commodities that are unrelated to a research project, or to fund Master's/PhD thesis work specifically (unless the work is attached to a funded research project that is established in accordance with the terms and conditions of the Agreement).

Projects under the Agreement also cannot be used for z*ombie research/science*, which can be described as follows:

"Zombie research/science goes through the motions of research without a real research question to answer, it may follow all the correct methodology, but it does not aspire to contribute to advance knowledge in the field; it bestows an aura of credibility on results not answering real research questions." (Adapted for the municipal context from Pasternak, Orsi, Mertz, Firestein, The Attack of Zombie Science, 2022)

Various forms of research exist from the scientific method, to design research, to engineering research; the OOI staff is available to help you think through and plan for research resources and methods that may be a best fit for your municipal purpose and business needs, via this Agreement or other options.

When Is Research Necessary?

Research is not always necessary to meet a municipal purpose or business need. Because of its focus on research-based projects, the Agreement may not be a match for all projects. Potential users of the Agreement must consider if they have a legitimate need for research. Research is necessary when:

1. You are in need of new knowledge in order to move forward to meet a public purpose–without the new knowledge from the research project, you cannot move forward, or you can move forward but will not be as effective.
2. You need to create a new template or guide for creating new knowledge that you will need to employ again and again for your municipal purpose, business need, and or/to serve the community. This template or guide cannot be completed without this original research activity.
3. Research activities will help you make informed decisions and take action for your municipal purpose, and other non-research activities would not meet this need.

When Is Research Necessary from a University?

Research may be obtained from a variety of sources: universities, private entities, community-based organizations, and the City's internal research capacity at the OOI. OOI staff is available to help assist staff with determining a best match for research resources. Research from a university is a good match when at least one of the following conditions is met (not all three must apply):

1. A university has the most appropriate expertise, ability, or technology to fulfill the research activities and is cost effective in providing these services;
2. Confidentiality requirements for research activities can best be met by a university; or
3. Necessary subject matter or methodology expertise is best available from a university.

Research is appropriate from a university when the university *does not* have a conflict of interest or stake in a research question or activity.

Adopting Human Centered and Design Approaches

The OOI employs a *human-centered approach*, which places the experiences of people living a problem at the center of research and design processes. We encourage projects under this agreement to take a human-centered approach and to employ methods such as civic and participatory research, which align with this approach, whenever possible. The City and University advocate for and support increasing knowledge by finding new information with the participation of those with different abilities, skills, backgrounds, and lived experiences.

The Office of Innovation employs a *design approach*. A design approach:

> *"emphasizes* discovering the right problem to solve*, and investing in both* problem-finding and problem-solving. *For both human- and systems-level challenges, we need to identify the problems worth addressing if we are to create meaningful change. Understanding the right problem, we can better create effective solutions. A very simple characterization of a design approach is that we move from working to understand a challenge, to working on creating solutions in response to the challenge."* (Both, Stanford Social Innovation Review, 2018)

Equity

The vision of the City of Austin is to make Austin the most livable city for *all*. To achieve that vision, every policy, practice, budget allocation, program, and collaboration must be examined through an equity lens. Research proposals that carefully consider the consequences (both intended and unintended) of their outputs and results, prioritize the inclusion of those affected, bring intentional attention to system inequities, advance opportunities for the improvement of outcomes for historically marginalized communities, and affirm a commitment to broad, inclusive and meaningful participation within the project team will set the stage for transforming how our community formulates and realizes equity moving forward.

The City's Equity Analysis worksheet systematically integrates purposeful consideration to ensure budget and planning decisions reduce disparities, promote service-level equity, and improve community engagement. Requesting departments should self-assess their projects with the worksheet.

Budget

Time on task is often the costliest aspect of a project, so it is important to understand the expected durations of project activities. To prevent misalignments in cost expectations, it is important to be explicit about budget and timeline constraints at the front end of scoping a project.

Note: Because the university price rates vary depending on the department and level of researcher, there is no heuristic available to assist in preemptively planning a budget. Teams should be prepared to commit significant attention to working out the budget with the university during project planning. The university's Indirect Cost (IDC) rate (i.e. administrative overhead) for City projects is 15%. The R&SI team is available to provide examples of past project budgets to provide a general range.

It is critical that a department has a plan to budget and fully pay for research projects. There is no Citywide fund for research projects. Departments are encouraged to plan for and identify funding for research projects during their budget planning process for the *next* fiscal year. Some departments set aside funding for research and development initiatives in each cycle, while others have policies and processes in place to access funds during a fiscal year. Council may also appropriate funds for research activities to support new programs or community engagement efforts. The R&SI team is available to help departments think forward about research budgets for research with the University or through other avenues.

You may consider external funding (such as grants) or research projects, but only when applicable departmental, City Management, and Council requirements are met. While a federal grant, for example, may appear to be the best way to pay for an initiative, it is imperative to have full management approval (from both the City and university) and be highly cognizant of the added inherent complexities, requirements, and indirect costs (e.g. federal reporting requirements). *Grant agreements and applications, especially for federal funding, should generally be established separately and outside of the Agreement; it is not necessary to use the Agreement to pursue grant funding for research.* The R&SI team is available for grant consultations but are currently *not* able to assist with applying for or managing grants on behalf of departments.

The researchers on your team should help create a budget estimate for their portions of the project. A budget estimate from the university will often include administrative overhead and adhere to the university's internal policies for fair yet competitive compensation.

A research project may cost the same or more as a consulting project, but there may be room for negotiation on fees, and other ways to decrease costs. For instance, a large "expensive" project can be broken down into more manageable phases that cross multiple fiscal years. Or, less "expensive" graduate students may be employed during key portions of the project instead of professors. The R&SI team and the University's Office for Research are available to consult with City staff on these cost feasibility considerations. In addition, reviewing a potential project with the R&SI team may yield various alternatives for project components to serve the research need and municipal purpose.

<u>Scope</u>

It is common practice at the City to work with vendors and partners under business or professional services contracts for purposes of consulting. There are, however, important distinctions between consulting agreements via other types of business contracts and the research-based projects allowable by the Agreement.

Under the Agreement, business needs and project requirements are set by the City staff but scopes of work for projects are *co-created* by City staff working closely with the University's Principal Investigator (PI)[1]. This is because while most PIs are interested in collaborating on projects that address real-world problems while advancing fundamental knowledge about a topic per university policy, university administration

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[1] A PI is a university's research lead for a defined project under this Agreement. A PI takes direct responsibility for completion of that project, directing the project activities, and reporting directly to the sponsor or client.

cannot compel any PI to engage with an external partner. PIs must balance many roles (such as teaching, research, and mentoring students). Thus, PIs are often not dedicated solely to the project under contract as an analyst for a private consulting firm would be, making it crucial that the City staff and PIs work together to conceptualize a project of mutual interest and benefit[2], while carefully considering the unique time and resource constraints that each party may have. Co-creation of the project scope allows City staff and PIs to come to an agreement about acceptable project scopes, milestones, timelines, and outputs that then become part of a binding Work Order issued under the Agreement.

Milestones and Timelines

Another important consideration to make while deciding whether to conduct a research-based project under the Agreement versus employing another type of consultative project and contractual tool is how deterministic timelines need to be. In other words, are the timelines and milestones fixed or can they be *flexible*? Research is not always congruent with a set timeline – a schedule will be set at the onset of a project, but findings could change the direction of the project. Research may mean changing the questions asked during the project, and that can impact the timing of milestones and conditions of the deliverables. On the other hand, while there may be delays in a strictly consultative project, the project plan and timeline typically remain relatively fixed.

Note: If schedules, milestones, and/or deliverables do need to be changed in the course of the research project, the Department Project Manager must notify their assigned RS&I Liaison as soon as possible. The Liaison will work with the appropriate people within the City and at the university to amend the Work Order and obtain the necessary signatures.

When developing a timeline for a project, account for the unique constraints of the City and the university calendars. For example, the start and end of university semesters, the City's budget cycle, and the seasonal/holiday breaks of each organization could pose significant impacts to resource and funding availability. Also, always keep in mind any internal Departmental or Council-related due dates and other reporting requirements set by the University or other organizations supporting the project (via grant funding, for example). As with any contract, include a timeline and language within the Work Order around acceptable timeline contingencies as foreseeable and necessary.

[2] Success for a university researcher may be different from success for City staff. Having the City use a research report for improving City services or informing policy implementation are examples of success metrics for a City staff member. Career advancement, contributing to a body of knowledge or practice, and monetary rewards are measures of success for a researcher.

<u>Team Structure</u>

At a minimum, each proposal must identify the City Department Project Manager, and the PI from the University. (See the City Staff Roles and Responsibilities Section of this SOP for a description of each.) When considering the team compositions and approaches to support a proposal, these practical guidelines may be useful:

1. What types of collaborations and methodologies have been previously successful in projects like yours?
2. To what degree does it make sense to balance the team based on a mixture of disciplines, skills and experience, organizational membership, backgrounds and demographics, etc.?
3. If there will be a diverse team, how might you determine and assign specific roles and responsibilities?
4. How will you ensure good communication and regular, open discussions?
5. What might be the processes for decision making and managing change during the project?
6. What technology tools do you need to support the team?
7. Is there trained, experienced leadership and adequate administrative resources?

The evidence for the effectiveness of well-managed, diverse research teams is strong and growing:

"*Teams often produce higher quality research than an individual or two can because they bring complementary knowledge, skills, and attitudes, take on more ambitious projects, apply diverse research methods and life experiences, and have larger networks. We are all familiar with small teams, but increasingly larger teams of researchers and non-researchers are being put to work to deal with substantial research problems.*" (Schneiderman, B., *The New ABCs of Research*, p. 158).

Teams can be composed of people from different disciplines (as described above) and/or organizations. Bridging academia and government to bring City staff and the university researchers together on the same team to produce civic good is the core purpose of the Agreement. It is important to keep in mind that research is not only about choosing the right problem or asking the right questions, but also about establishing meaningful dialogue between those with strong practical experience (City staff, residents) and those with rich knowledge of technique and theory (researchers, designers).

7.0 / Selection

If there are two or more projects competing for the remainder of the pre-approved spending authorization that meet all the basic requirements of the Agreement and it is not possible or practicable to return to Council to increase the threshold, a scoring of the projects will take place to decide which project(s) will move forward in the current fiscal year. A "selection team" made up of representatives from the Innovation Office, Equity Office, and Purchasing will review and score the competing proposals according to the following "Strategy and Benefits Index." The project with the highest score will then be recommended to the Chief of Staff for advancement.

Strategy and Benefits Index

Category	Description	Consideration	Score
City of Austin Strategic Direction (SD)	The proposed project aligns with & advances SD outcomes.	**None:** Does not clearly align with or strongly demonstrate how outcomes will be reached or advanced **Low:** There is limited alignment with a SD priority, with marginal impacts on outcomes **Medium:** Clearly aligns with an SD priority, but potential impacts on advancing outcomes are limited or questionable **High:** Clearly aligns with one or multiple SD priorities, while demonstrating strong impacts on outcomes	None = 0 Low = 1 Medium = 2 High = 3 **Score:** _____
Diversity, Equity, & Inclusion	The project structure & substance promote diversity, equity, & inclusion.	**None:** Does not include or account for diversity, equity, & inclusion **Low:** There is limited consideration for diversity, equity, & inclusion or may only be accounted for in a portion of the project or expected outcomes **Medium**: Accounts for diversity, equity, or inclusion, but not all three are present in each component of the project nor advanced by all outcomes **High:** Clearly sets definitions, metrics, & goals for diversity, equity, & inclusion, while building them in to each component of the project & holds them as focal points for the research and its outcomes	None = 0 Low = 1 Medium = 2 High = 3 **Score:** _____
Innovation	Investment in time & resources will result in improved or expanded capabilities, products, processes, &/or services.	**None:** Project won't result in improved or expanded capabilities, products, processes, &/or services **Low:** Project will result in minor improved or expanded capabilities or marginal supplements to knowledge, products, processes, &/or services **Medium**: There won't be clear and meaningful improvements to existing capabilities and additions to current knowledge, products, processes, &/or services but nothing entirely new will result **High:** Project will result in transformative capabilities &/or entirely new knowledge, products, processes, and/or services	None = 0 Low = 1 Medium = 2 High = 3 **Score:** _____

Collaboration	The project is designed to involve coordination, cooperation, & the exchange of ideas between researchers, City staff, other organizations, & members of the community?	**None:** The vast majority of the project will be conducted by researchers with little input from others **Low:** There will be limited, sporadic participation from those outside the research team on more of an ad-hoc, "as needed" basis **Medium:** While the project is lead by the City or University, the project is designed to include input & participation from other non-City & non-university organizations & the community at regular intervals and in meaningful ways (i.e. decision making) **High:** The project is scoped & designed by all participants to require a high degree of frequent & influential involvement across and throughout the various levels of all organizations and community impacted	None = 0 Low = 1 Medium = 2 High = 3 **Score:** _____

8.0 / Appendix

08.01 Example Pre-Proposal Acknowledgement Email

From: noreply@qemailserver.com
Date: Thursday, November 4, 2021 at 5:22 AM
To: Purma III, Charles
Subject: the City-UT Agreement Pre-Proposal Form

Response Summary:

Please provide your name and email address (must be a work email and not a personal email address...
First Name Ming
Last Name Zhang
Email Address zhangm@austin.utexas.edu

Please select your affiliation.
UT Austin

Please choose your title.
Professor

Please choose your primary home college, school, or unit.
School of Architecture

What topic(s) would you like to explore?
The proposed research aims to develop an Excel-based planning support tool for promoting Equitable Transit-Oriented Development (ETOD) and affordable housing in Austin, TX, focusing on the corridors of the existing Red Line commuter rail and the planned Orange and Blue light rail transit line.

The tool creates a TOD database for the rail corridors by integrating the parcel-level land use and property value data from Central Appraisal Districts with the data on socioeconomic characteristics and transportation from City of Austin, Cap Metro, CAMPO, and US Census. With the TOD database, the tool derives the 5-D metrics of TOD (Density, Diversity, Design, Distance to Transit, and Destination Accessibility) and constructs five objective functions concerning access to housing (including affordable housing), accessibility to jobs and services, transit ridership, building and travel emissions, and transit value capture. Lastly, the tool builds a multi-objective optimization procedure that enables interactive assessment of affordable housing supply and other performance indicators under different TOD planning and policy scenarios.

What questions are you trying to answer through research? What are you trying to solve?
What is the affordable housing stock in the transit travel shed (defined as the area reachable in 45-min. travel time, including both in-vehicle time and access times)? How would the affordable housing stock change when land uses change under alternative ETOD plans for the rail corridors? How can access to affordable housing be maximized while other socioeconomic and environmental objectives are balanced through ETOD planning?

It is expected that the tool complements CapMetro's ongoing ETOD planning, inform the debate and deliberation on revising Austin's land development codes, and support the efforts to improve affordability in Austin. The research will be integrated with the spring'22 course on TOD to be taught by the PI.

Please list all keywords associated with the project.
Equitable Transit-Oriented Development, accessible affordable housing, transit travel shed, multi-objective optimization, rail transit

The City of Austin is focused on improving quality of life and civic participation in the Austin community. The Strategic Direction 2023 goals (below) outlines imperatives to advance equitable outcomes across Austin. Please select the category your project would contribute to the City's Strategic Direction 2023 goals. Select all that apply.

- **Mobility** – Getting us where we want to go, when we want to get there, safely and cost-effectively
- **Safety** – Being safe in our home, at work, and in our community
- **Health and Environment** – Enjoying a sustainable environment and healthy life, physically and mentally

- **Culture and Lifelong Learning** – Being enriched by Austin's unique civic, cultural, ethnic, and learning opportunities
- **Government that Works for All** – Believing that city government works effectively and collaboratively for all of us – that it is equitable, ethical and innovative

Economic Opportunity and Affordability – Having economic opportunities and resources that enable us to thrive in our community**Please select the City of Austin departments that may be involved in this research collaboration....**
Communications and Public Information Office
Economic Development Department
Equity Office
Neighborhood Housing and Community Development
Office of Real Estate Services
Office of Sustainability
Planning and Zoning
Transportation

If you listed specific people above, have you discussed this project with them already?
N/A

Do you have an anticipated timeline for this research project? Are there any dependencies? If so,...
1 year, 2021-2022, UT Austin Faculty Innovation Grant

What is your anticipated budget for this research project? If you are not sure, please select you...
Less than $50,000

08.02 Interlocal Documentation and Reporting Policy

1.0 Purpose: Develop a policy for obtaining and documenting Interlocal Agreements following the 2021 Interlocal Agreements Audit. This policy will ensure that all agreements whether encumbering funds or not, are monitored appropriately and documented accordingly.

1.1 This policy sets forth the procedures associated with the documentation of all Interlocal Agreements withing the City of Austin financial system (Advantage).

2.0 Policy Statement

2.1 Regardless of dollar value, every Interlocal agreement entered into by City staff is required to be captured in Advantage by entering either a Master Agreement or Non Encumbering Document (NED). This will enable tracking and monitoring of Interlocal contracts in ECAPRIS, the City's contract monitoring system.

3.0 Procedure: Dependent on the Intent of the Interlocal

3.1 Contracts Requiring Payments from the City – Interlocals that require encumbrances for payment.

a. Required to be entered in Advantage by Departmental or Procurement Staff within 15 business days of City Council approval. Staff will ensure use of reporting code 1 to mark as an Interlocal.

b. Any existing Interlocals that have not been input into Advantage must be forwarded to the Financial Services Department atFSDProcurementProgramCommunications@austintexas.gov. This is only for Interlocals which as of July 1st, have already been approved by Council and Executed.

c. Any changes made to an executed Interlocal must be approved by Council regardless of the dollar amount. Once a change is approved by Council, the amendment must be entered by the department or sent to Procurement Staff within 10 business days of Council approval for input into Advantage.

3.2 Non Encumbering Contract – Interlocals that will not require Encumbrances for Payment.

a. Required to be input into Advantage as a NED by department staff within 10 business days of City Council approval.

b. Upon entering, staff will ensure use of reporting code 1 to mark as an interlocal.

4.0 Recommended Training

4.1 Department staff must complete the below trainings in order to be able to create NEDs in Advantage.

a. Advantage Training - (Available in LMS)

i. Intro to AIMS - This course covers how to enter two commonly used Accounting documents: the IET (Internal Exchange Transfer) and the JVD (Journal Voucher for Departments). Other introductory topics are also covered, such as using the Financial Workspace for accounting inquiries and an overview of other accounting documents. If you need CPE for this class, please look up the CPE information on the AIMS Website.

ii. Intro to AIMS Part 2 - This course covers how to enter two commonly used Accounting documents: the IET (Internal Exchange Transfer) and the JVD (Journal Voucher for Departments).

iii. Intro to AIMS Part 3 - Introductory topics are also covered, such as using the Financial Workspace for accounting inquiries and an overview of other accounting documents.

iv. Intro to AIMS Part 4 - Digital Express Reports (DRX) allows users to view reports based on historical Advantage Financial data. This beginning DXR class introduces you to basics such as the DXR report list, navigation, searching, and exporting DXR reports.

b. ECAPRIS Training - (Available in TRAIN)

i. eCAPRIS – Introduction - The Procurement Programs Team developed “Using eCAPRIS for Departmental Buyers” training course in order to provide a foundation for individuals who are/will be using eCAPRIS. This instructional course and lab will provide the participant with the tools to Create a Sourcing Request, Add a Trade Summary, and Upload Files/Documents into eCAPRIS.

ii. eCAPRIS – Intermediate - The Procurement Programs Team developed the “Using eCAPRIS for Contract Managers and Monitors” to provide the basis for improving the contract monitoring process city-wide.

iii. eCAPRIS – Advanced - The eCAPRIS for Contract Managers and Monitors course allows for Adding Contract Status, Assigning Personnel, Adding Vendor Contacts, and Adding/Managing Deliverables. An overview of Vendor Insurance requirements will be presented. In completing this course, the student will effectively manage all their assigned contracts.

c. NED Training – Training for the Non-Encumbering Document and its usage.