

San Antonio Area HIV/AIDS Health Services Planning Council

2012 – 2013 Assessment of the Administrative Mechanism

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1. Introduction

1.a. Project Purpose

Ryan White Part A Planning Councils are tasked by law to “assess the efficiency of the administrative mechanism in rapidly allocating funds to the areas of greatest need within the eligible area, and at the discretion of the planning council, assess the effectiveness, either directly or through contractual arrangements, of the services offered in meeting the identified needs.” This year’s assessment focused solely on the rapid allocation and reallocation of funds; service efficacy is not addressed in the 2012-2013 Assessment. The Planning Council, through the Bexar County Department of Community Resources (DCR), serves as the administrative agency in administering the Ryan White Program, inclusive of Part A. This includes, but is not limited to, oversight of grant funds, preparation of bid packages in accordance with the Planning Council priorities, and translates Planning Council recommendations into contracts with agencies. The Executive Committee of the Planning Council develops the timeline and Scope of Work for the Assessment of the Administration Mechanism for the San Antonio Transitional Grant Area (TGA).

This Assessment is in no way punitive, and should not be regarded as such either by the participants in the Administrative Mechanism processes, or by the persons reviewing this report. The Assessment is purely a tool to ensure the ongoing efficiency of the Administrative Mechanism, and to provide information on potential improvements to better serve the HIV positive persons of the San Antonio Transitional Grant Area (TGA).

1.b. Project Goals

The goal of the 2012-2013 Assessment of the Administrative Mechanism is to target the following areas for review:

- Priority Setting and Allocation
- Procurement¹
- Expenditure Reporting
- Fiscal Monitoring/Reimbursement

The Scope of Work requests the contractor “Produce a report that is both scientifically based and practical in presentation (methodology is relatively sound and clear, while the presentation and conclusion/recommendations are coherent and easy to understand);

¹ The TGA’s procurement activities were not reviewed for the 2012-2013 AAM due to the fact that no RFP process took place during the review period.

1.c Project Consultants

The Planning Council (PC) elected to conduct the 2012-2013 Assessment of the Administrative Mechanism through a Bexar County sole-source contractual arrangement with PROVADO, The Group, Inc. (Provado). It is important to note that Provado was awarded this same contract for the 2007-2008, 2008-2009, 2009-2010, and 2010-2011 Assessments of the Administrative Mechanism in the San Antonio TGA. This history exhibits the familiarity of the contractor with the issues and evolving quality improvement of the Administrative Mechanism.

2. Scope of Work

Initially, Provado interacted with the following entities to build buy-in and local understanding in the development of the proposed process for evaluation:

- Planning Council Executive Committee;
- Planning Council Committee Chairs/Co-Chairs; and
- Administrative Agency (DCR).

During the assessment activity, Provado targeted the following in gathering data, administering surveys and convening focus groups:

- Planning Council Member (at least 80% who served during the period being evaluated);
- Awarded Service Providers (participation from all funded providers);
- Administrative Agency (DCR); and
- Bexar County Auditor's Office.

The remainder of the Scope of Work is previously described in the Introduction.

3. Methodology

3.a Data Collection Processes

Provado utilized the following process to complete the stated scope of work, divided into four components:

- i. Documentation Review/Analysis
- ii. Data Collection/Analysis
- iii. Report Limitations
- iv. Production of Draft and Final Reports

3.a.i. Documentation Review/Analysis

The documentation review process scientifically mirrored a literature review. Similar to a literature review, Provado read, analyzed and critically reviewed a comprehensive array of key documents relevant to the administrative mechanism.

The purpose of this detailed and in-depth review was to ensure the fullest comprehension and understanding of the administrative mechanism. The documents requested adhered to the recommended documents listed in the Sample Process and Form for Assessment of the Administrative Mechanism from the Ryan White CARE Act Title I Manual. Additional documentation was requested for deeper analysis, as appropriate. The documents requested represented six (6) key areas: Policies & Procedures; Allocation/Reallocation, and Grant Award Documentation; the Planning Council; Invoices; and Site Visit Reports and Responses. The list of documents reviewed exhibits the comprehensiveness of the analysis:

- Policies & Procedures:
 - Monthly Agency (Fiscal) Review Policy;
 - Process for Reallocation & Redistribution of Funds;
 - Timely Reimbursement of Subcontractors and Technical Assistance;
 - Policy for Communicating with Auditors; and
 - Planning Council Grievance Procedure Policy
- Allocations and Reallocations
 - 2012 – 2013 Expenditure Reports, Part A & MAI;
 - 2012 – 2013 Expenditure Reports, Formula & Supplemental;
 - Planned Allocations Report;
 - Final Allocations Report;
 - Unallocated Funds Report;
 - Sample 2012 – 2013 Service Provider Contract; and
 - Follow-up Documentation for April & December 2012 Monthly Monitoring Agency Review meetings
- Grant Award Documentation
 - Part A Initial Notice of Award 2013;
 - Part A Revised Notice of Award 2013; and
 - Part A Carryover Notice of Award 2013
- Planning Council Documents
 - 2012 Comprehensive Needs Assessment;
 - 2012 – 2015 Comprehensive Plan;
 - 2011 – 2012 Assessment of the Administrative Mechanism; and
 - PC By-Laws germane to allocations & reallocations
- Invoices:
 - Standard Bexar County Invoice Packet (for provider training);
 - All provider invoices, April 2012;
 - All provider invoices, December 2012; and
 - 2012 – 2013 Invoice Tracking Sheet
- Site Visit Reports and Responses:
 - All 2012 – 2013 Program, Fiscal, and QM Site Visit Reports, Responses, & Closeouts

3.a.ii. Data Collection/Analysis

The data collection process was accomplished via the Health Resources and Services Administration (HRSA) recommended collection methods. The primary data collection method involved the utilization of a Survey Tool, Key Informant Interviews (KI) and Focus Groups (FG).

The Survey Tool adhered to survey questions approved by the Executive Committee of the PC. Two survey tools were constructed: one survey for service providers (9 respondents representing 5 agencies) and one survey for PC members (13 respondents). Surveys were conducted and collected via Survey Monkey, an online survey collection and analysis platform. Survey Monkey's platform features organized, sorted, and analyzed data. *See Attachments C & D for the summary analysis of each survey implemented.*

Provado conducted KIs and FGs with participation/representation from all key stakeholders in this process. Representation included the AA staff, county Auditors staff, and PC members.

The following table represents the total number of individual participants, their respected affiliations, and the methodology used to gather data.

	<i># Interviewed</i>	<i>KI / FG / Survey</i>
<i>Administrative Agency Staff</i>	7	KI
<i>Auditor's Office Staff</i>	2	KI
<i>Providers (5)</i>	9	Survey
<i>Planning Council Members</i>	13	FG & Survey

3.a.iii. Limitations

There were no noted limitations in the data collected for this assessment.

3.a.iv. Draft and Final Reports

The first draft of the Assessment of the Administrative Mechanism Report was provided to Bexar County staff on Friday, August 9, 2013 for review. Edits were made to address minor changes and to clarify Findings and Recommendations, and a final copy of the report was submitted to Bexar County on Tuesday, August 20, 2013.

4. Report Format

The 2012 – 2013 Assessment of the Administrative Mechanism for the San Antonio Transitional Grant Area is formatted by areas of focus pulled from the tools utilized for data collection: the approved survey tool and the approved KI and FG discussion scripts. Based on these tools, the report produced information on the *Priority Setting & Resource Allocation Process (PSRA), Reallocations & Redistributions, Notice of Award and Contracts, Billing and Reimbursement, Site*

Visits/Auditing, and Technical Assistance. The tools utilized in the collection of this data are included as Attachments A and B of this report for reference.

- a. *PSRA Process:* This grouping gathers all questions and responses regarding the annual PSRA process and focuses on the timeliness, quality, and comprehensiveness of data provided to the Planning Council and its committees for the benefit of PSRA activities.
- b. *Reallocations & Redistribution:* This grouping again gathers all questions and responses regarding reallocations, and focuses on the frequency, efficiency, and expediency of the reallocation process from various points of view.
- c. *Notice of Award and Contracts:* This grouping not only gathers questions and responses in regard to funding notification and contracts, but also includes information on the documentation review of processes for these activities, and whether the responses to questions indicate adherence to policy and procedures, as well as the efficiency and expediency of the contracting process.
- d. *Billing & Reimbursement:* This grouping reviews responses from providers, auditors, and AA staff, and focuses on the processes, efficiency, and expediency of the billing and reimbursement process. Documentation that tracks bills from receipt by the AA to disbursement by the County was also reviewed and compared to information provided in surveys and KIs.
- e. *Site Visits/Auditing and Technical Assistance:* This grouping details the perceived usefulness of site visit recommendations with assisting service providers in improving fiscal or programmatic deficiencies, if noted. This grouping also focuses on the technical assistance provided to service providers during the review period, and focuses on the expediency, quality, and results of requested TA.

Each section of the report, detailed above, presents *Discoveries, Findings, or Observations* from the data analysis, and provides supportive data for each. Discoveries outline positive evidence of best practices; Findings outline areas for improvement, and Observations are utilized to address issues that fall outside the Process and Form for Assessment of the Administrative Mechanism guidelines, but are pertinent to the continued efficiency of the Administrative Mechanism. The Discoveries, Findings, and/or Observations involve the use of quotations and/or excerpts from data collection methodology. Finally, *Recommendations* to address areas for improvement in regard to Findings are presented.

4.a. Priority Setting & Resource Allocation (PSRA)

PSRA activities are those activities pertaining to the annual PSRA process performed by the grantee to establish priorities for the coming year and to allocate funds to the areas of greatest need based on those priorities. The information regarding the 2012 PSRA process comes from three sources: Administrative Agency KIs; a Planning Council FG, and responses to the Planning Council online survey.

Discovery: A highly commendable Discovery includes the unanimous response from all stakeholders which indicate an efficient, expedient, and data-driven process for the annual PSRA process. High marks were given to the data provided to the Planning Council for deliberations for its quality, consistency and reliability.

- Question: *“Rate the quality, relevance, and the ease of use of the data and documents provided to you during the Priority Setting and Resource Allocations (PSRA) process in regards to assisting you in making informed decisions regarding funding and priorities.”*
 - 84.6% Very Relevant/Useful
 - 7.7% Somewhat Relevant/Useful
 - 7.7% Relevant/Useful
- Question: *“How easy is it for you to understand the format of the expenditure reports provided by the AA to the Planning Council?”*
 - 61.5% Very easy to understand
 - 38.5% Somewhat easy to understand
- Question: *“Do you believe the information provided in the expenditure reports is accurate and reliable?”*
 - 84.6% Yes
 - 15.4% Somewhat

When asked for views on the PSRA process, comments from an AA KI included the following:

- *“The Priority Setting Process has become more formalized, and more data-driven. And I think that makes...when there are hard decisions to make, it’s easier for them (the Planning Council) if they’re just dealing with the facts.”*

Comments from the PC FG concur:

- *“The process now [is] driven by data, and the efficiency of gathering that information has made a clearer more comprehensive view of what the needs are and where the money should go. You make the best decision you can with the data you’re given. I feel we’re working less in the dark about what we’re doing, and it sort of takes the emotional aspects out of it, and the contentious aspects that have been there in the past.”*

And:

- *...“Based on my past experience and most recent interaction with the PC – there’s never going to be a perfect scenario, but this particular AA and having the experience of dealing with another previously, this one came in with sensitivity to this issue being a big problem in the past. Acknowledging that there were problems in the past and that it needed to*

be improved, soliciting feedback – they definitely have tried to make the process better.”

A key component of the health, strength and effectiveness of the relationship between the AA and the PC is the AA Liaison to the PC. Much of the impression the PC has of the AA results from this key position. Several PC members cited the Liaison to the PC as a key component to the improvements and close collaborative nature of AA/PC relations in recent years.

- *“I can’t say enough about the job the liaison does – she’s been there for a while now, and there had been so much turnover, which was hard, but it’s been a big asset to help us do a better job.”*

This response indicates an ongoing improvement in AA/PC relations has been an on-going area of improvement originally identified in the 2008-2009 assessment conducted by Provado. Over the past several years, this relationship has demonstrated significant improvements, and respondents gave much of the credit to the PC liaison. Other factors that were mentioned regarding the improvements in the PSRA process included the expansion of performing the process in committee to performing it with the entire Planning Council, and to the data-driven focus of the process, which removed much of the emotional aspects from years past.

The single limitation noted by stakeholders was the necessity to hold the PSRA process in advance of the Ryan White Part A grant-writing process. Respondents indicated that this mid-summer timing meant the process was too far in advance of the planning period that would not begin until nearly nine months later. This meant the process had to rely on data that, by the time the planned priorities and allocations go into effect, could be two to five years old. This limitation, however, is a component of the federal requirements for Part A funding, and not something that can be addressed by the Grantee.

Findings: None.

Observations: None.

Recommendations: Provado’s only recommendation, as in the 2011 – 2012 Assessment of the Administrative Mechanism (AAM), is to continue with communication and collaborative improvements that have been implemented, and keep a focus on continually updating training for new Planning Council, AA, and Service Provider stakeholders to ensure a wide flow of accurate and up-to-date information.

4.b. Reallocations & Redistributions

For the purposes of clarity and focus, Provado has chosen to define the Planning Council activities and the AA activities in regard to moving funding during the grant year separately, as follows:

Reallocation: those activities involving the return of funds from an agency, or the receipt of additional funding, that requires allocation or reallocation to a different service category by the Planning Council after the initial allocation process has been completed.

Redistribution: those activities involving the return of funds from an agency that does not require reallocation to a different service category, but a shifting of funding from one agency to another by the AA.

Note: Provado suggests that the PC and AA consider adopting the above definitions as part of their vocabulary and implementation activities.

Discovery: The overwhelming majority of responses to questions regarding the monthly monitoring agency review (redistribution) indicated that the process works well and has been timely and efficient:

- Question (*Provider Survey*): “Rate the efficiency of the process for reallocating funds throughout the grant period.”
 - 22.2% Very Efficient
 - 33.3% Somewhat Efficient
 - 33.3% Efficient
 - 11.1% Somewhat Inefficient.

Further, discussions during the AA FG indicated that the meeting for redistribution is undertaken monthly, and that all stakeholders are present for the process.

Finding: As revealed through discussions during the same AA KI referenced above, it was noted that the AA staff was not aware of any documentation existing regarding the outcomes of these monthly meetings, nor any minutes being documented. Funding redistribution occurs with ease and with little issue, but the lack of documentation can become a fundamental issue and a key area of risk for the AA. Because redistribution and/or reallocation recommendations result from the monthly monitoring agency review, it is vital to have the conversations documented – especially when dollars have been approved for removal from one agency and placed with another. This finding is simply put, an unnecessary risk for the AA and is easily mitigated with solid documentation. For example, two respondents to the Provider survey provided the following information:

- Question: “Please add any additional comments regarding this series of questions (Reallocation section).”
 - “...there is concern regarding the reallocation of funds. There are instances when we have been notified of fund reallocations and provided redirection to spend down, but later found out that the funds were no longer available and resulted in unallowable costs. I would like to see this process improved on to avoid similar situations in the future.”; and

- *“Difficulties arise in assessing spend down due to time lags between invoicing and updating spreadsheets. Spreadsheets at best are a month behind spending due to time it takes to invoice after services and expenses are accrued.”*

During subsequent discussions with the AA, Provado was provided some documentation (e-mails and spreadsheets) that detail fiscal progress for providers. Review of this additional documentation revealed that though the results of the monthly agency review were sent in e-mail to other staff for follow-up, the meeting discussions and methodology behind the redistribution of funds were not documented. There were also no documents that showed any steps in the process that allowed the under-spending agency to create a plan for expending excess dollars. Additionally, the e-mails provided were simply a notification of recommendations; no final approvals or decisions were documented in the information provided by the AA for review.

Additionally, the documents sent to Provado as documentation of the activity for the November, 2012 Monthly Monitoring Agency Review showed a discrepancy between the e-mail recommendations for funding to be redistributed between two agencies, and the actual funding that appears to have been distributed according to the documents. In month 9, it was recommended that Agency A have their Outpatient/Ambulatory Medical Care (OAMC) reduced by \$47,000, and their Local AIDS Pharmaceutical Assistance (LAPA) reduced by \$30,000, and Agency B would receive 100% of the funding in the identical categories for a redistribution of \$77,000. However, the variation in funding for these two services for these two agencies between the November 2012 spreadsheet and the January 2013 spreadsheet shows a difference of \$40,000 for OAMC from Agency A to Agency B. Also, for LAPA, Agency A was reduced by \$26,109 according to the spreadsheets provided, and Agency B was increased by \$31,044. Clearly, some additional changes were made from the time the recommendation was made at the conclusion of the monthly review meeting’s summary email to the time the funds were actually redistributed – but no documentation exists that demonstrates the discrepancy between the recommendation and the actual dollars redistributed (no justification of modifications, approval, etc...)

Also, both respondents in the aforementioned quotes utilized the very specific term “spend down”, which is disallowed in federal grants. During its interviews and extensive documentation review, Provado found no indication that utilizing a “spend down” process for grants is a standard operating procedure. However, because there is no documentation of the monthly monitoring agency review or the related outcomes, it is impossible to pinpoint when, where, or why the specific issues enumerated by survey respondents occurred.

Observations: None.

Recommendation 1: If it is a common practice for the AA or Service Providers to refer to the activities that ensure grant funds are expended in a timely manner as “spend down”, Provado recommends discontinuing the use of this term. The

AA should educate providers that “spend down” is the activity of spending funds in one grant to exhaust it before the grant ends while not billing another grant for the same services because it has a later end date. Spending should always occur according to the service provider’s contract and contracted budget, and units and expenditures may not be loaded onto the end of one grant to the benefit of another grant. These administrative requirements are outlined in OMB Circular A-110.

Recommendation 2: It is strongly recommended that the issues raised by the providers in the survey be addressed by ensuring adequate documentation of redistribution practices and/or reallocation recommendations. While this gap in documentation is not directly impacting the rapid distribution of funds to the areas of greatest need – it is creating an unnecessary risk for the AA regarding its ability to defend any redistribution decision. With regards to risk management and solid business practices, the AA should strongly consider formalizing its documentation for this process.

Meeting documentation of discussions surrounding redistribution of funds that include copies of supporting documentation (reports, spreadsheets, ARIES reports, etc.) should be maintained for reference to assist in the investigation of issues such as those outlined by providers. This documentation could take the form of detailed e-mails regarding discussions and rationale for redistributions, in addition to the final recommendations of the meeting. The documentation does not have to be formal meeting minutes, but it does need to be a consistent methodology. Additionally, the monthly documentation should result in clear and concise rationale for any redistributions/reallocations and the approval of the AA’s leadership team to ensure the process was adhered to. This documentation will assist in future refinement of AA’s processes.

Additionally, Provado recommends that the AA add to its spreadsheets for the monthly monitoring agency review process a “Projected Expenditures” section that uses analysis of prior month billing to project anticipated expenditure activity through the end of the current month, and if possible, through the end of the grant year, to give a reasonable estimate of funding likely to be left over at the grant’s end. This would begin to address subcontractors concerns that data for the monthly monitoring agency review is a month in arrears, which could affect funding for their services.

4.c. Notice of Award & Contracts

The activities that are the focus of this section are those that take grant funding from the time the Grantee receives the Notice of Award until the subcontracts for that funding are finalized.

Discovery: Responses were highly ranked on the funding notice and contract responses with one exception:

- Question: *“In your opinion, was the time allotted to prepare budgets...adequate?”*

- 0.0% Very Adequate
- 11.1% Somewhat Adequate
- 0.0% Adequate
- 44.4% Somewhat Inadequate
- 22.2% Very Inadequate

In regard to the timeline for returning budgets, 77.8% of service provider respondents indicated they have less than two weeks to submit budgets, and subsequent KI discussions with AA staff reveal the timeline is typically one week.

Other than the time allotted for budget preparation, all contracting timelines and the speed of notification of awards are optimum. Provado’s research did not reveal opportunities for improvement in this area.

Findings: None.

Observations: Because it does not interfere with the rapid allocation or reallocation of funding, but rather promotes it, there can be no finding for the concerns of provider sites that may have legitimate issues with the speed of the turnaround time that has been set for the budget creation process. There are several activities the Grantee and providers may undertake to mitigate the burden of quick turnaround times for budgets:

- At the pre-award meeting, encourage providers to have their budget templates set up for population once the award comes in;
- Hold additional trainings on the creation of budgets, Excel use, and how to avoid “rounding” errors. Encourage service providers to use a calculator or adding machine to check their budget before submission to catch Excel formula errors;
- Continue working closely with providers to not only point out budget issues, but to ensure their understanding for how the errors occurred and how to avoid them in the future;
- Create a “Budget FAQ” that covers the most common errors found in provider budgets as well as any tips and tricks for each line item to help providers keep on top of budget creation.

Creating greater knowledge of the budgets could reduce the time spent on revisions after initial submission. An abbreviated revision process could ultimately allow for a longer turnaround time for providers.

Recommendations: None

4.d. Billing & Reimbursement

Billing and Reimbursement covers those activities from the time a subcontractor submits a reimbursement (billing) request to the time funds are distributed by the county to the provider.

Discovery: Responses from the Provider Survey respondents were all highly ranked for AA training for billing and reimbursement as well as all questions regarding the efficiency and timeliness of billing and reimbursement processes and procedures.

One provider indicated there was insufficient communication for one sub-part of the process:

- Question: *“Please provide any additional comments regarding this series of questions.”* (Billing & Reimbursement)
 - *“Discrepancies between the final billing and payments are not communicated. (Example: if the invoice approved differs from the payment received). If there are issues with documentation [for] supporting costs, those are communicated to allow [the agency] to provide backup to avoid a disallowed cost. However, with regard to salary disallowance, this is not communicated until a Notice of Pending Payment is submitted, and therefore requires [submission] of a new invoice.”*

Finding: Through FG interviews with representatives from the Auditor’s Office, it was revealed that approximately 5-10% of reimbursement requests received from Providers by the Auditor’s Office each month contain errors. Provado has indicated this is a Finding due to the nature of the issue and its potential impact on the rapid distribution of funding. FG respondents described the issue this way:

- Question: *“How many invoices do you think come to you each month that need corrections?”*
 - *“During the review period, there were approximately 5-10% of bills received by the auditor's office that contained errors where we had to make manual corrections, and from that about 5% were missing required documentation to process the billing.”*
- Question: *“In your opinion, what is the most commonly identified issue/concern regarding billing/reimbursements?”*
 - *“Usually just that the invoice may have some errors. Sometimes in payroll, or if I have to compare it to ARIES and the GL. Most are mathematical errors. This issue is being addressed and continues to improve.”*
 - *“If I catch errors, I can’t just spot check I have to be thorough. Perhaps more training or more fiscal monitors (staff) at the AA to check more thoroughly and fine-tune their process for reviewing bills.”*

Observations: None.

Recommendation: Provado recommends more regular communication between Auditor’s Office staff and the AA to pinpoint where the aforementioned errors may be slipping through. It was noted during discussions of this finding that the

Auditor’s Office staff had not been communicating these errors to the AA, thereby not giving them the opportunity to correct future reviews to ensure mistakes and missing documentation are minimized. Though the issue has not yet caused a delay in payment disbursement, optimizing the process will ensure that no delays occur in the future.

The meeting should produce updated procedures and recommendations not only for the Auditor’s Office and AA, but for providers as well, to ensure they are providing adequate backup documentation for their reimbursement requests. There is a possibility of internal training and/or provider training to ensure that this concern is properly and thoroughly resolved. Provado found no indication that these comments are a result of staffing issues within the AA, as there are two fiscal monitors employed within the AA.

4.e. Site Visits/Auditing and Technical Assistance

The activities reviewed in this section included the quality and efficacy of site visit reports in assisting providers with improving processes found to be lacking (fiscal or programmatic) during annual audits.

Discovery: Overall, Service Provider Survey respondents were positive in their views of both Site Visit recommendations and the Technical Assistance offered by the Grantee. There is conflicting data on the questions regarding Fiscal Monitoring Site Visits. In the survey, one grantee indicated the agency received a Fiscal Monitoring visit during the review period, and rated the effectiveness of the written report “Somewhat Effective”.

The programmatic/QM report got a mixed report of responses from Providers, with one third indicating the site visit recommendations were “Somewhat Ineffective”.

- Question: “Rate how effective the written report of the programmatic/QM audit was in providing usable recommended practices for improving service quality and administration of Ryan White Program grant funds.”
 - 28.6% Very Effective
 - 0.0% Somewhat Effective
 - 28.6% Effective
 - 28.6% Somewhat Ineffective
 - 14.3% I am not sure

There were two relevant follow-up text responses for the programmatic/QM data as follow:

- Question: *“Please add any additional comments regarding this series of questions.”*
 - *“Programmatic audits are better in theory than in practice because HRSA has over regulated Ryan White funding to the extent that it is unrealistic with infrastructure limitations and flat/reduced funding environment.”*

- *“Had over 500 records pulled for the amount of time available for review”*

Though the two responses indicate overarching issues with site visits, there is no indication that site visit report recommendations were anything but satisfactory for all providers.

Findings: None

Observations: None

Recommendations: None

5. Conclusions

Overall, Provado finds that the Bexar County DCR, Planning Council, Auditor’s Office and the service providers have done a commendable job overseeing the Ryan White Part A Administrative Mechanism. The minor findings within are representative of an entity running at a high level of functioning, and the practices noted do not currently affect the successful rapid allocation and reallocation of funds to the areas of greatest need. The noted recommendations are provided as a preventative measure and represent currently ongoing areas targeted for improvement that will ensure the Administrative Mechanism continues to function well.

Provado commends Bexar County on the tremendous cohesion and commitment to PLWH/A shown at all levels.

Attachment A

PC & Service Provider Survey Tool

**2012-2013 Assessment of the Administrative Mechanism –
Planning Council Survey**

1. As of February 28, 2013, how long had you served on the Planning Council?
 - a. 0-6 months
 - b. More than 6 months – 1 year
 - c. More than 1 year – 2 years
 - d. More than 2 years

2. Between March 1, 2012 and February 28, 2013, did you attend full Planning Council meetings on a regular basis?
 - a. Always
 - b. Almost always
 - c. Sometimes
 - d. Rarely
 - e. Never

3. During the grant year, were you provided with a copy of and an explanation of the Needs Assessment conducted to help determine the met and unmet needs of the community? Or, were you made aware of the Needs Assessment's availability on the Planning Council's website?
 - a. Yes
 - b. No
 - c. I'm not sure
 - d. I was not a member at that time

4. If you were a member of the Planning Council in the summer of 2012, were you invited to participate in the Priority Setting and Resource Allocations process?
 - a. Yes
 - b. No
 - c. I'm not sure
 - d. I was not a member at that time

5. During the Priority Setting and Resource Allocations process, were you provided with understandable information regarding the needs and service utilization in the Ryan White community?
 - a. Yes
 - b. No
 - c. I'm not sure
 - d. I did not participate in the process
 - e. I was not a member at that time

6. Did the AA provide updates on the allocation of funds and explanations on why funds were delayed, if applicable?
 - a. Yes
 - b. No

- c. I'm not sure
 - d. I was not a member at that time
7. Did the awarding of funds in specific categories match the allocations established by the Planning Council (from Priority Setting and Resource Allocation) prior to any reallocations being made?
- a. Yes
 - b. Somewhat
 - c. No
 - d. I am not sure
8. When the Planning Council was involved in the reallocation process, were explanations provided on why the allocations were being requested?
- a. Yes
 - b. No
 - c. I'm not sure
 - d. I was not a member at that time
9. When the AA reallocated funds within its 10% discretion, was the Planning Council made aware of the reallocations that were made?
- a. Yes
 - b. Somewhat
 - c. No
 - d. I am not sure
10. Do you believe the process for reallocating funds (i.e., the AA's 10% discretion, or Planning Council approval) ensures an expedient and efficient process?
- a. Yes, I agree
 - b. Yes, I somewhat agree
 - c. No, I do not think the process is expedient nor efficient
 - d. N/A, I am not sure
11. Were you notified of any carryover requests made in FY 2012-2013 for funds left over from FY 2011-2012?
- a. Yes
 - b. No
 - c. I'm not sure
 - d. I was not a member at that time
12. If carryover funds from FY 2011-2012 needed to be allocated, were you invited to participate in the process?
- a. Yes
 - b. No
 - c. I'm not sure
 - d. I was not a member at that time

13. Please add any additional comments regarding this series of questions.
 - a. Open Comment Section

14. Are updated expenditure reports provided to the Planning Council on a regular basis?
 - a. Yes
 - b. Somewhat
 - c. No
 - d. I am not sure

15. Does the AA provide expenditure reports in a format that is easily understood by the Planning Council?
 - a. Yes
 - b. Somewhat
 - c. No
 - d. I am not sure

16. Do you believe the information provided in the expenditure reports is accurate and reliable?
 - a. Yes
 - b. Somewhat
 - c. No
 - d. I am not sure

17. When other financial information is needed from the AA, is the information presented in a timely manner?
 - a. Yes
 - b. Somewhat
 - c. No
 - d. I am not sure

18. When other financial information is needed from the AA, is the information presented in an understandable format?
 - a. Yes
 - b. Somewhat
 - c. No
 - d. I am not sure

19. Please add any additional comments regarding this series of questions.
 - a. Open Comment Section

2012-2013 Assessment of the Administrative Mechanism – Provider Survey

1. Which organization are you affiliated with?
 - a. Alamo Area Resource Center
 - b. Centro Med
 - c. San Antonio AIDS Foundation
 - d. University Health System – FFACTS Clinic

2. Which of the following best represents your level of involvement in delivering services at your agency?
 - a. Executive
 - b. Program Director
 - c. Program Staff
 - d. Fiscal Staff

3. As of February 28, 2013, how long have you been a staff at the agency in which you are employed?
 - a. 0-6 months
 - b. More than 6 months – 1 year
 - c. More than 1 year – 2 years
 - d. More than 2 – 5 years
 - e. More than 5 years

4. Once the grant award has been received **by the AA**, how long does it take to be notified by the AA of the agency's grant award?
 - a. Less than one week
 - b. 1-2 weeks
 - c. 3-4 weeks
 - d. More than 4 weeks
 - e. I am not sure
 - f. N/A

5. Was adequate time allotted for the agency to prepare the required budget after the initial contract was awarded?
 - a. Yes
 - b. No
 - c. I am not sure
 - d. N/A

6. Given Bexar County's contract process, generally how long has it taken to finalize your agency's contract once your agency is awarded the initial grant?
 - a. Less than a month
 - b. Two months
 - c. Three months
 - d. Four months
 - e. More than four months
 - f. I am not sure

- g. N/A
7. If more than four months, was this due to your agency's process for handling of contracts?
- a. Yes
 - b. No
 - c. I am not sure
 - d. N/A
8. Please add any additional comments regarding this series of questions.
- a. Open Comment Section
9. Did the AA communicate with the agency during the grant year to ensure that funding was being spent in a timely manner?
- a. Yes
 - b. No
 - c. I am not sure
 - d. N/A
10. As a provider, have you ever applied for reallocated funds?
- a. Yes
 - b. No
 - c. I am not sure
 - d. N/A
(skip logic)
11. Does the AA have a simple process to request a reallocation of funds?
- a. Yes, very simple
 - b. Yes, somewhat simple
 - c. No, somewhat difficult
 - d. No, very difficult
 - e. I am not sure
12. Do you believe the process for reallocating funds ensures an expedient and efficient process?
- a. Yes, I agree
 - b. Yes, I somewhat agree
 - c. No, I do not think the process is expedient nor efficient
 - d. I am not sure
 - e. N/A
13. Please add any additional comments regarding this series of questions.
14. Open Comment Section
15. Did your agency receive a **fiscal** auditing visit during the period March 1, 2012, through February 28, 2013?
- a. Yes

- b. No
- c. I am not sure
- d. N/A
- e. (skip logic)

16. If so, was an Entrance Conference conducted?

- a. Yes
- b. No
- c. I am not sure
- d. N/A

17. If so, was an Exit Conference conducted that included any findings and/or recommendations?

- a. Yes
- b. No
- c. I am not sure
- d. N/A

18. Did your agency receive a written report of the monitoring visit?

- a. Yes
- b. No
- c. I am not sure
- d. N/A

19. Was your agency allowed at least 30 days to respond to the report and its findings?

- a. Yes
- b. No
- c. I am not sure
- d. N/A

20. Please add any additional comments regarding this series of questions.

- a. Open Comment Section

21. Did your agency receive a **programmatic/QM** auditing visit during the period March 1, 2012, through February 28, 2013?

- a. Yes
- b. No
- c. I am not sure
- d. N/A
- e. (skip logic)

22. If so, was an Entrance Conference conducted?

- a. Yes
- b. No
- c. I am not sure

d. N/A

23. If so, was an Exit Conference conducted that included any findings and/or recommendations?

- a. Yes
- b. No
- c. I am not sure
- d. N/A

24. Did your agency receive a written report of the monitoring visit?

- a. Yes
- b. No
- c. I am not sure
- d. N/A

25. Was your agency allowed at least 30 days to respond to the report and its findings?

- a. Yes
- b. No
- c. I am not sure
- d. N/A

26. Please add any additional comments regarding this series of questions.

- a. Open Comment Section

27. If appropriate, based on your position at the agency, did you receive training on the AA's billing process?

- a. Yes
- b. No
- c. I am not sure
- d. N/A

28. Is your agency reimbursed for **accurate** billings in a timely manner?

- a. Yes
- b. No
- c. I am not sure
- d. N/A

29. Provided that your agency did not have to make any corrections to a submitted billing, on average, how many business days does it take for your agency to be reimbursed from the day you submit the initial billing?

- a. less than 5 business days
- b. 5-10 business days
- c. 11-15 business days
- d. 16-30 business days

- e. 31-45 business days
 - f. 46-60 business days
 - g. 61-90 business days
 - h. 91+business days
 - i. I am not sure
 - j. N/A
30. Between March 1, 2012, and February 29, 2013, were you notified that any billing invoices needed to be modified?
- a. Yes
 - b. No
 - c. I am not sure
 - d. N/A
 - e. (skip logic)
31. On average, how many days was it between the day you submitted the initial invoice and the date you were notified that changes needed to be made?
- a. Less than 5 business days
 - b. 6-10 business days
 - c. 11-15 business days
 - d. 16-20 business days
 - e. 21-25 business days
 - f. 26-30 business days
 - g. More than 30 business days
 - h. I am not sure
 - i. N/A
32. Have all reimbursement payments (after corrections were made, if necessary) matched the invoice submitted to the AA?
- a. Yes
 - b. No
 - c. I am not sure
 - d. N/A
 - e. (skip logic- No)
33. Were you notified of the reasons that the payment did not match the invoice?
- a. Yes
 - b. No
 - c. I am not sure
 - d. N/A
34. Please add any additional comments regarding this series of questions.
- a. Open Comment Section
35. Did you request any technical assistance from the AA during the grant year?
- a. Yes
 - b. No

- c. I am not sure
 - d. N/A
 - e. (Skip logic)
36. If so, what technical assistance did you request?
- a. Open Comment Section
37. Did the AA comply with your request?
- a. Yes
 - b. No
 - c. I am not sure
 - d. N/A
 - e. (Skip logic)
38. Did the technical assistance meet your needs?
- a. Yes
 - b. No
39. Please add any additional comments regarding this series of questions.
- a. Open Comment Section

Attachment B

Key Informant Interview Scripts

Administrative Agency (Delia, April, Peggy, Crystal)

1. As of February 28, 2013, what was your position's role within the Administrative Agency (AA)?
2. As of February 28, 2013, how long had you been employed in the Bexar County Ryan White Program?

Contract & Monitoring Process

3. Describe your involvement in the contract process for 2012 – 2013?
4. Describe the process from notifying providers of funding awards through the execution of final contracts, including estimated timelines and related activities.
 - a. What is the AA's benchmark for the amount of time to allot for providers to submit grant budgets following their notice of funding award?
 - i. Is the AA always able to meet this benchmark, if not, why?
 - b. On average, how long does it take to finalize contracts with providers from their notice of funding award to the time contracts are signed and complete?
5. Describe the process for monitoring service provider expenditures.
 - c. On average, how frequently does the AA request that providers return funding as a result of monitoring activities?

Provider Reimbursement Process

6. Describe your involvement in the provider reimbursement (billing) process in 2012 – 2013.
7. Describe the reimbursement process from the submission of billing requests to payment disbursement, including estimated timelines and activities.
8. Please describe any technical assistance performed for service providers that focused on fiscal or procurement-related issues during the review period.

Reallocation Process

9. Describe your involvement in the reallocation processes throughout 2012-2013?
10. Do you believe the process for reallocating funds (i.e., the AA's 10% discretion, or Planning Council approval) ensures an expedient and efficient process? Why?

Planning Council Liaison & HIV Planner (Laura, Allison)

1. As of February 28, 2013, what was your position's role with the Planning Council?
2. As of February 28, 2013, how long had you been employed in the Bexar County Ryan White Program?

PSRA Process

3. Describe your involvement in the PSRA process in 2012.
4. In your opinion, do you believe the current Priority Setting and Resource Allocations process is efficient in meeting its required charge of rapidly allocating funding to the areas of greatest need? Why?
5. Over the 12 months being assessed, what examples can you give that demonstrate how the process:
 - a. Works well,
 - b. Has gaps, or
 - c. Creates barriers

Reallocation Process

6. Describe your involvement in the reallocation processes throughout 2012-2013?
7. Describe the process by which reallocations are made, and how is the need for reallocation determined?
8. Do you believe the process for reallocating funds (i.e., the AA's 10% discretion, or Planning Council approval) ensures an expedient and efficient process? How?
9. Describe the process for reviewing service provider expenditures to ensure grant funds are "on track" for timely year-to-date depletion.

Executive Director (Aurora)

Planning Council

1. Describe your views on the following in regard to the Planning Council activities:
 - a. Allocations and Reallocations Processes
 - b. Priority Setting Processes
 - c. Responsiveness to time-sensitive decision-making to ensure efficient and effective distribution of funds

Policies

2. Describe your views on the following in regard to existing policies:
 - a. Effectiveness and thoroughness of existing fiscal policies
 - i. Describe specific strengths or weaknesses
 - b. The consistency of implementation of fiscal policies and practices

Admin Agency/Auditor's Office

3. Describe the impact of delayed or partial receipt of funding from federal and state sources, and how it affects the rapid allocation and distribution of funding to the areas of greatest need.
 - a. What contingencies or processes does Bexar County have in place to manage delays in federal or state funding awards?
4. Describe your views on the efficiency of the working collaboration between the Administrative Agency staff and Bexar County Auditor's Office staff.
5. In your opinion, what is the most commonly identified issue/concern identified by providers in regard to the allocation and distribution of funding to the areas of greatest need?

Auditor's (Van)

1. As of February 28, 2013, what was your position's role within the Auditor's Office?
2. As of February 28, 2013, how long had you been processing invoices for the Bexar County Ryan White Program?
3. Describe your involvement in the provider reimbursement (billing) process in 2012 - 2013.
4. Describe the reimbursement process from the submission of billing requests to payment disbursement, including estimated timelines and activities.
5. In your opinion, what is the most commonly identified issue/concern regarding billing/reimbursements?

Attachment C

Service Provider Survey Results

2012 - 2013 Assessment of the Administrative Mechanism - Provider Survey



1. With which Ryan White Provider Organization are you affiliated?

		Response Percent	Response Count
Alamo Area Resource Center		22.2%	2
Centro Med		11.1%	1
San Antonio AIDS Foundation		33.3%	3
University Health System – FFACTS Clinic		33.3%	3
answered question			9
skipped question			0

2. Which of the following best describes your involvement in the delivery of services at your organization?

		Response Percent	Response Count
Executive		33.3%	3
Program Director		0.0%	0
Program Staff		33.3%	3
Fiscal Staff		44.4%	4
answered question			9
skipped question			0




3. As of February 28, 2013, how long have you been a staff member for the organization at which you are employed?

		Response Percent	Response Count
0-6 months		0.0%	0
More than 6 months – 1 year		0.0%	0
More than 1 year – 2 years		11.1%	1
More than 2 – 5 years		11.1%	1
More than 5 years		77.8%	7
answered question			9
skipped question			0


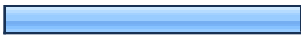



4. Once the grant award has been received by the AA, how long does it take to be notified by the AA of the agency's grant award?

		Response Percent	Response Count
Less than one week		11.1%	1
1-2 weeks		22.2%	2
3-4 weeks		22.2%	2
Between 4-6 weeks		11.1%	1
More than 6 weeks		0.0%	0
I am not sure		22.2%	2
N/A		11.1%	1
answered question			9
skipped question			0





5. After initial funding was awarded, how much time was your agency allotted to submit revised budgets?

		Response Percent	Response Count
Less than 2 weeks		77.8%	7
Between 2 – 4 weeks		11.1%	1
Between 4 – 6 weeks		0.0%	0
More than 6 weeks		0.0%	0
I am not sure		0.0%	0
N/A		11.1%	1
answered question			9
skipped question			0


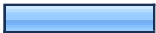


6. In your opinion, was the allotted amount of time to prepare budgets referenced in question 5 adequate?

		Response Percent	Response Count
Very Adequate		0.0%	0
Somewhat Adequate		11.1%	1
Adequate		0.0%	0
Somewhat Inadequate		44.4%	4
Very Inadequate		22.2%	2
I am not sure		11.1%	1
N/A		11.1%	1
answered question			9
skipped question			0

7. Considering Bexar County’s contract process, how long has it taken to finalize your agency’s contract once your agency is notified of funding awards?

		Response Percent	Response Count
Less than a month		0.0%	0
Two months		55.6%	5
Three months		0.0%	0
Four months		11.1%	1
More than four months		0.0%	0
I am not sure		22.2%	2
N/A		11.1%	1
answered question			9
skipped question			0

8. What was the cause of the delay, if any, in the processing and handling of contracts?

		Response Percent	Response Count
Delays within my organization		0.0%	0
Delays within the grantee organization		11.1%	1
Delays within BOTH my organization and the grantee organization		22.2%	2
I am not sure		33.3%	3
N/A		33.3%	3
answered question			9
skipped question			0




9. If you indicated there were delays in the previous question, elaborate on the nature of the delays:

	Response Count
	4
answered question	4
skipped question	5




10. Please add any additional comments regarding this series of questions.

	Response Count
	3
answered question	3
skipped question	6


11. How often is your agency notified by the AA that service budgets are under or over spending?

		Response Percent	Response Count
Bi-weekly		0.0%	0
Monthly		22.2%	2
Quarterly		66.7%	6
I don't know		11.1%	1
N/A		0.0%	0
Other (please specify)		0.0%	0
	answered question		9
	skipped question		0





12. Rate the effectiveness of the AA communication with your organization during the grant year regarding the timeliness of service expenditures.

		Response Percent	Response Count
Very Effective		0.0%	0
Somewhat Effective		33.3%	3
Effective		44.4%	4
Somewhat Ineffective		22.2%	2
Very Ineffective		0.0%	0
I don't know		0.0%	0
N/A		0.0%	0
answered question			9
skipped question			0





13. As a provider, have you ever applied for reallocated funds?

		Response Percent	Response Count
Yes		100.0%	9
No		0.0%	0
I am not sure		0.0%	0
N/A		0.0%	0
answered question			9
skipped question			0

14. Rate the simplicity or difficulty of the process for requesting reallocated funding throughout the year.

		Response Percent	Response Count
Very simple		33.3%	3
Somewhat simple		22.2%	2
Average		33.3%	3
Somewhat difficult		11.1%	1
Very difficult		0.0%	0
I am not sure		0.0%	0
answered question			9
skipped question			0




15. Rate the efficiency of the process for reallocating funds throughout the grant period.

		Response Percent	Response Count
Very Efficient		22.2%	2
Somewhat Efficient		33.3%	3
Efficient		33.3%	3
Somewhat Inefficient		11.1%	1
Very Inefficient		0.0%	0
I am not sure		0.0%	0
answered question			9
skipped question			0



16. Please add any additional comments regarding this series of questions.

	Response Count
	2
answered question	2
skipped question	7

17. Did your agency receive a fiscal auditing visit during the period March 1, 2012, through February 28, 2013?

		Response Percent	Response Count
Yes		11.1%	1
No - please skip to question 20		77.8%	7
I am not sure - please skip to question 20		11.1%	1
N/A - please skip to question 20		0.0%	0
Other (please specify)		0.0%	0
answered question			9
skipped question			0



18. Rate how effective the written report of the fiscal audit was in providing usable recommended practices for improving fiscal administration of grant funds.

		Response Percent	Response Count
Very Effective		0.0%	0
Somewhat Effective		50.0%	1
Effective		0.0%	0
Somewhat Ineffective		0.0%	0
Very Ineffective		50.0%	1
I am not sure		0.0%	0
N/A - no recommendations were provided		0.0%	0
answered question			2
skipped question			7





19. Provide a description of findings from your agency's most recent fiscal audit, and how those findings were resolved. (If there were no findings, answer with N/A)

	Response Count
	2
answered question	2
skipped question	7

20. Did your agency receive a programmatic/QM auditing visit during the period March 1, 2012, through February 28, 2013?

		Response Percent	Response Count
Yes		77.8%	7
No - please skip to question 23 on the next page		0.0%	0
I am not sure - please skip to question 23 on the next page		22.2%	2
N/A - please skip to question 23 on the next page		0.0%	0
answered question			9
skipped question			0

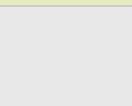
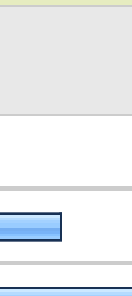

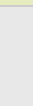
21. Rate how effective the written report of the programmatic/QM audit was in providing usable recommended practices for improving the service quality and administration of Ryan White Program grant funds.

		Response Percent	Response Count
Very Effective		28.6%	2
Somewhat Effective		0.0%	0
Effective		28.6%	2
Somewhat Ineffective		28.6%	2
Very Ineffective		0.0%	0
I am not sure		14.3%	1
N/A - no recommendations were provided		0.0%	0
answered question			7
skipped question			2

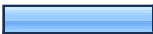


22. Please add any additional comments regarding this series of questions.

	Response Count
	3
answered question	3
skipped question	6






23. Rate the effectiveness of the AA's training for billing and submitting reimbursement requests.

		Response Percent	Response Count
Very Effective		11.1%	1
Somewhat Effective		33.3%	3
Effective		44.4%	4
Somewhat Ineffective		0.0%	0
Very Ineffective		0.0%	0
Unknown – My position is not involved in the billing/reimbursement process		11.1%	1
N/A - My organization did not participate in this training		0.0%	0
	answered question		9
	skipped question		0

24. On average, once your agency submits an accurate reimbursement request, how long does it take to receive payment?

		Response Percent	Response Count
Less than 45 days		22.2%	2
Between 45 - 60 days		66.7%	6
More than 60 days		0.0%	0
I am not sure		11.1%	1
N/A		0.0%	0
answered question			9
skipped question			0

25. On average, assuming no corrections were required, how many business days does it take for your agency to be reimbursed from the day you submit the initial billing?

		Response Percent	Response Count
Less than 45 days		11.1%	1
Between 45 - 60 days		44.4%	4
Between 60 - 90 days		22.2%	2
More than 90 days		0.0%	0
I am not sure		11.1%	1
N/A		11.1%	1
answered question			9
skipped question			0




26. Between March 1, 2012 and February 28, 2013, were you notified that billing invoices needed to be modified/corrected?

		Response Percent	Response Count
Yes		77.8%	7
No - please skip to question 31		11.1%	1
I'm not sure - please skip to question 31		11.1%	1
answered question			9
skipped question			0






27. How many times was your agency notified that billing invoices needed to be modified/corrected?

		Response Percent	Response Count
Very Frequently (every month)		0.0%	0
Sometimes (once per quarter)		62.5%	5
Infrequently (less than twice per year)		25.0%	2
Never		12.5%	1
I am not sure		0.0%	0
answered question			8
skipped question			1






28. On average, how many days was it between the day you submitted the initial invoice and the date you were notified that modifications/corrections needed to be made?

		Response Percent	Response Count
Less than 5 business days		12.5%	1
6-10 business days		50.0%	4
11-15 business days		37.5%	3
16-20 business days		0.0%	0
21-25 business days		0.0%	0
26-30 business days		0.0%	0
More than 30 business days		0.0%	0
I am not sure		0.0%	0
N/A		0.0%	0
answered question			8
skipped question			1

29. Between March 1, 2012 and February 28, 2013, how many times were there discrepancies between the final submitted billing amount and the payment received?

		Response Percent	Response Count
Never		12.5%	1
1 - 3 times		25.0%	2
3 - 6 times		37.5%	3
6 - 9 times		12.5%	1
9 - 12 times		0.0%	0
I am not sure		12.5%	1
N/A		0.0%	0
answered question			8
skipped question			1




30. Rate the effectiveness of the communication and process for resolving discrepancies between final billing and payments received.

		Response Percent	Response Count
Very Effective		12.5%	1
Somewhat Effective		37.5%	3
Effective		25.0%	2
Somewhat Ineffective		12.5%	1
Very Ineffective		0.0%	0
I am not sure		0.0%	0
N/A		12.5%	1
answered question			8
skipped question			1

31. Please add any additional comments regarding this series of questions.

	Response Count
	1
answered question	1
skipped question	8

32. Did you request any fiscal technical assistance from the AA or grant auditors during the grant year?

		Response Percent	Response Count
Yes		22.2%	2
No - proceed to the next page		66.7%	6
I am not sure - proceed to the next page		11.1%	1
N/A - proceed to the next page		0.0%	0
		answered question	9
		skipped question	0



33. In your opinion, did the AA or grant auditors respond to your fiscal technical assistance request in a timely manner?

		Response Percent	Response Count
Very timely		50.0%	1
Somewhat timely		0.0%	0
Timely		50.0%	1
Somewhat untimely		0.0%	0
Never responded		0.0%	0
I am not sure		0.0%	0
answered question			2
skipped question			7

34. Rate the effectiveness of the fiscal technical assistance received from the AA or grant auditors.

		Response Percent	Response Count
Very Effective		50.0%	1
Somewhat Effective		0.0%	0
Effective		50.0%	1
Somewhat Ineffective		0.0%	0
Very Ineffective		0.0%	0
I am not sure		0.0%	0
N/A		0.0%	0
answered question			2
skipped question			7

35. Rate the overall quality of the fiscal technical assistance received by your organization.

		Response Percent	Response Count
Very Effective		50.0%	1
Somewhat Effective		0.0%	0
Effective		50.0%	1
Somewhat Ineffective		0.0%	0
Very Ineffective		0.0%	0
I am not sure		0.0%	0
N/A		0.0%	0
answered question			2
skipped question			7

36. Please add any additional comments regarding this series of questions.

	Response Count
	1
answered question	1
skipped question	8

Page 2, Q9. If you indicated there were delays in the previous question, elaborate on the nature of the delays:

1	Not sure how to elaborate since I don't have access to the Bexar County process. On our end, we receive notice of funds with a very short turnaround time to prepare budgets. The budgets are submitted and we don't have authorization to move forward for weeks at a time.	Aug 7, 2013 1:56 PM
2	Approval within our own system takes time	Jul 24, 2013 9:48 AM
3	The delays generally are focused around the timing of being placed on the Commissioner's Court agenda and the infrequent schedule (every two weeks) that commissioners meet.	Jul 23, 2013 2:58 PM
4	Lsrge institution requiring more than one dept having to review contract. It seems the contracts are submitted to CC once a month	Jul 23, 2013 1:51 PM

Page 2, Q10. Please add any additional comments regarding this series of questions.

1	My involvement with the grants are not contract/budget related. These processes are handled by the FFACTS Department or the Grants department. Therefore I am not able to provide answers to the series of questions above dealing with contracts/budget processing time.	Jul 24, 2013 2:27 PM
2	The time from notification of award to the time budgets are due is generally about one week. It is a wait and hurry up process, mostly due to HRSA delays in distributing funds.	Jul 23, 2013 2:58 PM
3	Should there not be questions on the planning council allocation process.	Jul 23, 2013 1:51 PM

Page 3, Q16. Please add any additional comments regarding this series of questions.

1	There is concern regarding the reallocation of funds. There are instances when we have been notified of fund reallocations and provided redirection to spend down, but later found out that the funds were no longer available and resulted in disallowed costs. I would like to see this process improved on to avoid similiar situations in the future.	Jul 24, 2013 2:29 PM
2	Difficulties arise in assessing spend down due to time lags between invoicing and updating spreadsheets. Spreadsheets at best are a month behind spending, due to time it takes to invoice after services and expenses are accrued.	Jul 23, 2013 3:03 PM

Page 4, Q19. Provide a description of findings from your agency's most recent fiscal audit, and how those findings were resolved. (If there were no findings, answer with N/A)

1	No findings - N/A	Aug 7, 2013 1:57 PM
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Page 4, Q19. Provide a description of findings from your agency's most recent fiscal audit, and how those findings were resolved. (If there were no findings, answer with N/A)

2 N/A

Jul 23, 2013 1:54 PM

Page 4, Q22. Please add any additional comments regarding this series of questions.

1 Programmatic/QM audit was handled by FFACTS department. Little or no involvement occurred with Accounting.

Jul 24, 2013 2:31 PM

2 Programmatic audits are better in theory than practice because HRSA has over regulated Ryan White funding to the extent that it is unrealistic with infrastructure limitations and flat/reduced funding environment.

Jul 23, 2013 3:07 PM

3 Had over 500 records pulled for the amount of time available for review

Jul 23, 2013 1:54 PM

Page 5, Q31. Please add any additional comments regarding this series of questions.

1 Discrepancies between the final billing and payments are not communicated. (Example if the invoice approved differs from final payment received). If there are issues with documentation supporting costs, those are communicated to allow UHS to provide backup to avoid a disallowed cost. However, with regard to salary disallowance, this is not communicated until a notice of Pending Payment is submitted and therefore requires resubmission of a new invoice.

Jul 24, 2013 2:37 PM

Page 6, Q36. Please add any additional comments regarding this series of questions.

1 Assistance provided by April and Crystal is quick. There has not been an issue with obtaining information or getting questions answered unless they are out of office. Both are very responsive to requests/questions.

Jul 24, 2013 2:38 PM

Attachment D

Planning Council Survey Results

2012 - 2013 Assessment of the Administrative Mechanism - PC Survey



1. As of February 28, 2013, how long have you served on the Planning Council?

		Response Percent	Response Count
0-6 months		15.4%	2
More than 6 months – 1 year		7.7%	1
More than 1 year – 2 years		15.4%	2
More than 2 – 5 years		46.2%	6
More than 5 years		15.4%	2
answered question			13
skipped question			0




2. Between March 1, 2012 and February 28, 2013, how frequently did you attend full Planning Council meetings (not just committee meetings) on a regular basis?

		Response Percent	Response Count
Always Attended		23.1%	3
Almost Always Attended		76.9%	10
Sometimes Attended		0.0%	0
Rarely Attended		0.0%	0
Never Attended		0.0%	0
answered question			13
skipped question			0






3. Describe your role in the 2012 Priority Setting and Resource Allocation Process.

	Response Count
	13
answered question	13
skipped question	0

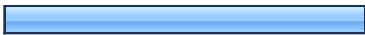


4. Rate the quality, relevance, and the ease of use of the data and documents provided to you during the Priority Setting and Resource Allocations (PSRA) process in regards to assisting you in making informed decisions regarding funding and priorities.

		Response Percent	Response Count
Very Relevant/Useful		84.6%	11
Somewhat Relevant/Useful		7.7%	1
Relevant/Useful		7.7%	1
Somewhat Irrelevant/Not useful		0.0%	0
Very Irrelevant/Not useful		0.0%	0
I'm not sure		0.0%	0
I did not participate in the PSRA process.		0.0%	0
	answered question		13
	skipped question		0

5. Rate the comprehensiveness of explanations provided to the PC for why various reallocations were being requested?

		Response Percent	Response Count
Very Comprehensive		53.8%	7
Somewhat Comprehensive		23.1%	3
Comprehensive		7.7%	1
Somewhat Incomprehensive		7.7%	1
Very Incomprehensive		0.0%	0
I'm not sure		7.7%	1
I did not participate in reallocation decisions		0.0%	0
answered question			13
skipped question			0

6. In your opinion, do you believe the process for reallocating funds (i.e., the AA's 10% discretion, or Planning Council approval) ensures an expedient and efficient process? Why or why not?

		Response Percent	Response Count
Yes, I agree		53.8%	7
Yes, I somewhat agree		38.5%	5
No, I do not think the process is expedient nor efficient		0.0%	0
N/A, I am not sure		7.7%	1
answered question			13
skipped question			0

7. In regard to the previous question, explain why you do or do not feel the reallocation process is efficient and effective.

	Response Count
	13
answered question	13
skipped question	0

8. Please add any additional comments regarding this series of questions.

	Response Count
	4
answered question	4
skipped question	9

9. Are updated expenditure reports provided to the Planning Council on a regular basis?

		Response Percent	Response Count
Yes, every meeting		92.3%	12
Yes, but not at every meeting (inconsistent / infrequent)		7.7%	1
No, never		0.0%	0
I am not sure		0.0%	0
answered question			13
skipped question			0

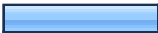



10. How easy is it for you to understand the format of the expenditure reports provided by the AA to the Planning Council?

		Response Percent	Response Count
Very easy to understand		61.5%	8
Somewhat easy to understand		38.5%	5
Not easy to understand		0.0%	0
N/A - I did not review expenditure reports		0.0%	0
I am not sure		0.0%	0
answered question			13
skipped question			0



11. Do you believe the information provided in the expenditure reports is accurate and reliable?

		Response Percent	Response Count
Yes		84.6%	11
Somewhat		15.4%	2
No		0.0%	0
I am not sure		0.0%	0
answered question			13
skipped question			0

12. When other financial information is needed from the AA, is the information presented in a timely manner?

		Response Percent	Response Count
Yes, usually at the same meeting		23.1%	3
Yes, usually electronically within 1-2 weeks		15.4%	2
Yes, By the next scheduled meeting		53.8%	7
No, It takes 2-3 meetings to get the requested information		0.0%	0
No, The Planning Council does not receive the additional information		0.0%	0
I am not sure		7.7%	1
answered question			13
skipped question			0

13. When other financial information is needed from the AA, how understandable is the information's format?

		Response Percent	Response Count
Very easy to understand		53.8%	7
Somewhat easy to understand		46.2%	6
Not easy to understand		0.0%	0
N/A - I did not review expenditure reports		0.0%	0
I am not sure		0.0%	0
answered question			13
skipped question			0

14. Please add any additional comments regarding this series of questions.

	Response Count
	6
answered question	6
skipped question	7

Page 2, Q3. Describe your role in the 2012 Priority Setting and Resource Allocation Process.

1	The chair would call a meeting whereas each planning council member can rank priorities using data, comparing rankings from last year. The rankings are voted on with full participation of planning council members in attendance.	Jul 26, 2013 6:16 PM
2	I was not on the committee but voted on priority setting and resource allocations at the Planning Council level.	Jul 26, 2013 12:27 PM
3	As a committee member we reviewed data the HIV planner provided us to guide us in making decisions to reallocate funds from one category to different categories. The AA would let us know when there were not enough funds available in one category and make recommendations as to which categories have more funds that could be transferred to another category.	Jul 26, 2013 11:13 AM
4	participated in the data review meeting and attended council meeting to approve/disapprove proposed priorities and allocations.	Jul 26, 2013 8:39 AM
5	Member of the committee	Jul 26, 2013 12:04 AM
6	I am the YPLWHA	Jul 25, 2013 5:59 PM
7	Attended PC meetings for Part A and MAI; involved in discussions to a point due to potential conflicts of interest	Jul 25, 2013 7:56 AM
8	Was a member of the Needs Assessment Committee and also provided input as a Consumer member of the Planning Council and People's Caucus,	Jul 24, 2013 6:11 PM
9	Consumer effected communities	Jul 24, 2013 1:39 PM
10	N/A	Jul 24, 2013 9:19 AM
11	To assure that the consumer needs were 1st priority when making decisions affecting the allocation process for all resources & funds	Jul 23, 2013 8:22 PM
12	Attended meetings and added my input during discussion.	Jul 23, 2013 5:02 PM
13	chair	Jul 23, 2013 2:58 PM

Page 2, Q7. In regard to the previous question, explain why you do or do not feel the reallocation process is efficient and effective.

1	reallocation is necessary as items for billing, changes in allocation, and ect. The process is efficient and has proven effective with AA and planning council members	Jul 26, 2013 6:16 PM
2	The process should allow for timely and appropriate reallocation in order for service providers to actually have time to utilize those funds and, in my opinion, the current process addresses that requirement as well as possible.	Jul 26, 2013 12:27 PM
3	Reviewing the data provided by the HIV planner and AA staff is sometimes too much to process in one afternoon or day. Fewer meetings are nice, but it would be nice to review data more frequently than to review it all at once and make decisions the same day.	Jul 26, 2013 11:13 AM
4	Data presented was thorough and easily understood which provided a solid foundation to make informed & efficient priority settings and funding allocations.	Jul 26, 2013 8:39 AM
5	Meets the needs of the community	Jul 26, 2013 12:04 AM
6	I believe it helps any area that needs the funds and because the planning council has many different members that provide the perspective of the community. It helps make a much more informed desicion.	Jul 25, 2013 5:59 PM
7	The process itself works (especially with the new changes that will take effect during this grant year). Part of the problem is that due to the billing process (part of the County's mandate so no fault of the AA), getting the info on spending can be delayed and decisions are sometimes made within a month of the end of the grant cycle.	Jul 25, 2013 7:56 AM
8	The AA does the best it can do under the circumstances, Part of the problem is that HRSA sometimes doesn't distribute the funds in time.	Jul 24, 2013 6:11 PM
9	i beleive the 10% is effective in order to reallocate funds so areas of greater needs can continue to provide services to the comminity w/o having to bring the full planning council together to so.	Jul 24, 2013 1:39 PM
10	The funds should be used for what is most important. If they haven't been used for other things or if there is more need for reallocation then it should be done.	Jul 24, 2013 9:19 AM
11	I feel the process is efficient and effective, because it was comprehensive and considered the consumers needs and fair.	Jul 23, 2013 8:22 PM
12	N/A	Jul 23, 2013 5:02 PM
13	it allows for rapid reallocation when necessary; however; often last minute due to weak provider planning and poor AA fiscal monitoring/spend-down enforcement throughout year. there are always spending cycles that never materialize, so AA conducts itself in path of least resistance	Jul 23, 2013 2:58 PM

Page 2, Q8. Please add any additional comments regarding this series of questions.

1	None	Jul 26, 2013 6:16 PM
2	I feel that the AA does an excellent job of providing the Planning Council and the PC committees with the information needed to make informed choices.	Jul 24, 2013 6:11 PM
3	I think the question were fair and necessary to make an adequate to assess the AA.	Jul 23, 2013 8:22 PM
4	Thank you for the opportunity to serve on the PC.	Jul 23, 2013 5:02 PM

Page 3, Q14. Please add any additional comments regarding this series of questions.

1	none	Jul 26, 2013 6:17 PM
2	Although yes was noted on question 9, at times they have not been provided but that is due to not having an updated report since the last report.	Jul 25, 2013 7:57 AM
3	Having served on the Planning Council previously for six years before rejoining this past year, I understand the steep learning curve required to fully understand the mechanisms of the Planning Council.	Jul 24, 2013 6:15 PM
4	N/A	Jul 24, 2013 9:21 AM
5	N/A	Jul 23, 2013 5:04 PM
6	information provided in the expenditure reports is accurate and reliable though only as provider submmitted it. Very little incentives for providers to deallocate funds from even if staffing situations render spend-down impossible.	Jul 23, 2013 3:02 PM