

Attachment F

FY16 Administrative Assessment Report

**HIV HEALTH SERVICES PLANNING COUNCIL
FY 2016/17 ANNUAL ADMINISTRATIVE ASSESSMENT**

REPORT OF FINDINGS

SUMMARY OF FINDINGS

The results of the Review Panel's assessment of the Administrative Mechanisms of the Sacramento HIV Health Services Planning Council showed an overall improvement over the previous year. In FY16, there were 79 outcomes reviewed. 96.2% of standards consistently met and exceeded the intent of the standard, 3.8% met the intent of the standard, but left room for improvement.

Comparatively in FY15, there were 76 outcomes reviewed. 96.1% of standards consistently met and exceeded the intent of the standard, 2.6% primarily met the intent of the standard, but left room for improvement, and 1.3% showed the standard was not met.

Twelve standards were not reviewed as they related to procurement activities that only occur in years where an RFP is issued or they were not applicable during this report year. Current contracts are on a six-year basis ending February 28, 2018.

The Fiscal Agent conducted quality management, program and fiscal site visits during fiscal year 2016/17, and completed written reports to subrecipients within 90 days as required. At the time of the final Administrative Review, three agencies had just received their corrective action reports and have not had sufficient time to respond as the site visits were conducted at the end of the fiscal year.

Results of the Administrative Review indicate an improvement over the prior year. The Committee did notice one area on the review Tool, under Timeliness, that needed clarification and updating, and determined the indicator needed to be re-worded.

Overall, the Review Panel determined that the Fiscal Agent staff continues to provide consistently exemplary work, with attention to detail despite this being a particularly challenging year in meeting program reporting requirements and obligations.

BACKGROUND

The Ryan White C.A.R.E. Act requires Planning Councils to conduct an annual assessment to evaluate and improve the administrative systems that manage CARE Act funds in the TGA. The role of the annual assessment is equally as important as setting priorities, making allocations, conducting needs assessments, developing comprehensive plans, and all other legislative mandates required of the Council.

The methods and processes used to complete the annual assessment have continually evolved since the first assessment conducted for FY 96/97. The FY 00/01 and FY 01/02 assessments saw particular advancement with the development and use of a new scoring tool, and adjustments to the tool are made on an annual basis as deemed necessary. The tool was developed with the intent of being able to compare and trend findings from year to year. The tool continues to serve as a valuable instrument in the administrative assessment process.

To help ease the burden of the year end assessment, a quarterly monitoring program was initially used to assess progress towards standards and recommendations throughout the year. In addition, a documentation log was created that highlighted all the documentation needed to complete the assessment. As the process continued to evolve, the assessment is now conducted semi-annually, covering six months of Fiscal Agent's performance.

All review panel members, Planning Council staff, and Fiscal Agent staff participated in semi-annual monitoring activities, and provided input for the documentation log to ensure accurate documentation. Both the results of the bi-annual monitoring and the documentation log were used to collect information throughout the Fiscal Year being reviewed (FY 16/17) to lessen the burden on the amount of documentation needing to be reviewed as part of the year end assessment.

METHODOLOGY

Prior to the assessment, all participants received training on the assessment process. The training addressed the purpose of the assessment, the report of findings format, the scoring tool, and plan of correction, quarterly monitoring, and roles of participants. The review panel reconvened on May 19, 2017 to conduct the annual assessment. The review panel members used the provided documentation, in conjunction with the final quarterly monitoring summary and documentation log to develop a rating for each standard. Through discussion by the review panel members, comments of strengths, weaknesses, and external factors were considered for each standard. In addition, recommendations for improvement were developed by the review panel, as needed. If additional explanation was needed for a standard or a rating category, the Fiscal Agent answered any questions that remained after the review of provided documentation. A final rating for each standard was determined by a consensus decision of the review panel. The process was repeated for each of the following ten categories: Procurement Process; Fiscal Monitoring; Program Monitoring; Tracking Systems; Contract Development; Allocation, Priority Setting, Reallocation, and Rollover; Communication and Reporting; Barriers and Concerns; Timeliness; and Flexibility.

The Council Staff took notes of the day's proceedings, and included all relevant comments in a preliminary report of findings. The review panel came to a consensus on the final score for each category.

PARTICIPANTS

Fiscal/Administrative Agent (FA) Representative: Adrienne Rogers, Paula Gammell

Review Panel Members: Susan Farrington, Kane Ortega, Mahara Leong, Gail Brosnan, Erika Navarro and Mark Underwood.

RATING SCALE

Rating	Compliance Measure	Description of Rating
+	<i>Standard Met and Exceeded</i>	<i>The intent of the standard is consistently met and exceeded, and the processes are not in need of improvement.</i>
√	<i>Standard Met at Minimum</i>	<i>The intent of the standard is primarily met, but the processes could still be improved. Recommendations may be provided.</i>
=	<i>Standard Met</i>	<i>The standard is met and processes are in place to ensure continued achievement. This rating indicates that the panel considered the standard as measurable solely on accomplishment or failure.</i>
-	<i>Standard Not Met</i>	<i>The intent of the standard is primarily not met, and the processes should be given the majority of the resources for improvement. Recommendations shall be provided.</i>

The following pages provide the summary of performance by rating category.

SACRAMENTO TGA
ASSESSMENT OF THE ADMINISTRATIVE MECHANISM: FY 2015-2016

FISCAL AGENT (FA) REPRESENTATIVE: Adrienne Rogers, Ryan White CARE Program Coordinator
AdAC Committee Members: Susan Farrington, Kane Ortega, Mahara Leong, Mark Underwood, Gail Brosnan, Erika Navarro
DATE OF ASSESSMENT: May 19, 2017
FISCAL YEAR REVIEWED: FY 2016/17
SCORING TOOL COMPLETED BY: Paula Gammell, Ryan White CARE Program - Program Planner

FINAL RATINGS FOR ADMINISTRATIVE MECHANISMS:

Rating Category	Outcomes Met and Exceeded	Outcomes Met or Met at Minimum	Outcomes Not Met	Outcomes in Progress	Outcomes Not Applicable This Review
1. Procurement Process	7	0	0	0	7
2. Fiscal Monitoring	9	1	0	0	0
3. Program Monitoring	12	0	0	0	0
4. Tracking Systems	4	0	0	0	0
5. Contract Development	10	0	0	0	0
6. Allocations, Priorities, Reallocation, Rollover	9	0	0	0	0
7. Communication and Reporting	9	0	0	0	0
8. Barriers and Concerns	5	1	0	0	0
9. Timeliness	8	1	0	0	0
10. Flexibility	3	0	0	0	0
OVERALL	76	3	0	0	12
Percent of Total*	96.20%	3.80%	0.00%	0.00%	N/A

*It should be noted that the outcomes are based on the total number of applicable standards reviewed.

1. Procurement Process

<i>Standards</i>	<i>Panel Assessment</i>
A. Procurement process consists of standardized steps and format across all potential applicants.	Scored in 2013
B. Dissemination of information regarding availability of funds and request for proposal (RFP) process includes multiple media sources across TGA to solicit new applicants.	Scored in 2013
C. Proposed procurement start and end dates are adhered to.	Scored in 2013
D. Appropriate vendors for each priority are targeted and provided notice regarding the availability of funds and RFP process.	Scored in 2013
E. All requirements for HRSA Policies and Procedures, Council Directives, Standards of Care, Outcome Measures, and Performance Indicators are included in the RFP and discussed at the Bidders Conference.	Scored in 2013
F. A standardized process with timeframes is in place for the renewal of contracts.	+
G. Contract renewal is completed in accordance with the written, standardized contract renewal process.	Scored in 2013
H. The annual contract renewal process includes an analysis of each provider's ongoing compliance with contractual obligations, including review of quantitative and fiscal issues.	+
I. The annual contract renewal process includes an analysis of each provider's ongoing compliance with quality management plans.	+
J. The Fiscal Agent completes and submits the grant application, in coordination with the Planning Council, for the procurement of Part A funds by the applicable deadline.	+
K. Weaknesses identified by HRSA in the prior year's Part A application are specifically addressed by the Fiscal Agent in developing the Part A application for the current year.	+
L. The Fiscal Agent completes and submits the grant application, in coordination with the Planning Council, for the procurement of State RW Part B funds by the applicable deadline.	+
M. The Fiscal Agent completes and submits the application for carryover funds, in coordination with the Planning Council, by the applicable deadline.	+
N. In an RFP year, the Fiscal Agent provides monthly RFP status updates to the Council.	N/A

Comments: The Fiscal Agent anticipates releasing an RFP and Letter of Intent in FY2017.

2. Fiscal Monitoring

<i>Standards</i>	<i>Panel Assessment of Standard</i>
A. Monthly invoices and other fiscal information is tracked through a standardized system.	+
B. Contractual requirements define the various types of corrective action that can be implemented by the fiscal agent if invoices are not submitted on time.	+
C. Ongoing fiscal reviews are conducted and completed for all Contractors and include the following: <ul style="list-style-type: none"> ▪ Monthly contract analysis reports ▪ Monthly claim reports ▪ Monthly invoice summary reports ▪ Individual client analysis reports, as needed ▪ Review of agency audits. 	+
D. On-site fiscal reviews are conducted and completed annually for all Contractors, and	+
E. A written report is provided to each Contractor no later than 90 days from the date of the site visit.	+
F. Standardized On-Site Fiscal Monitoring Tool is used consistently and comprehensively across all contracted service providers.	+
G. The person(s) conducting fiscal site visits have documented training and/or experience in fiscal evaluation and use of the on-site fiscal monitoring tool.	+
H. Technical assistance is provided to each contractor as requested and as deemed necessary from fiscal review.	+
I. FA implements Corrective action for each contractor as deemed necessary from fiscal review, on-site fiscal monitoring and as defined by contractual requirements.	+
J. Fiscal audits are conducted for each contractor as deemed necessary from fiscal review and as defined by HRSA and /or Sacramento County DHHS policies and procedures.	=

Comments: Fiscal Agent staff is commended for exemplary efforts in completing fiscal monitoring written summary reports in a timely manner.

3. Program Monitoring

<i>Standards</i>	<i>Panel Assessment of Standard</i>
A. Formal program monitoring site visits to assess overall quality and components of service delivery are conducted and completed in accordance with HRSA’s RW National Monitoring Standards for all Contractors, and written results are forwarded to contractors.	+
B. Formal Quality Management monitoring site visits to assess continuous quality improvement efforts are conducted and completed in accordance with HRSA’s RW National Monitoring Standards for all contractors, and written results are forwarded to contractors.	+
C. Standardized On-Site Program Monitoring Tool is used consistently and comprehensively across all contracted service providers.	+
D. The person(s) conducting program monitoring site visits have documented training and/or experience in program evaluation and use of the on-site program monitoring tool.	+
E. Contractual requirements define the various types of potential corrective action that can be implemented by the Fiscal Agent.	+
F. Technical assistance is provided to each contractor as requested and as deemed necessary from program monitoring site visits and/or Providers Caucus meetings.	+
G. Written site visit reports will be completed within 90 days of a site visit	+
H. FA monitors that corrective action is conducted by contractors, as deemed necessary from program monitoring site visits and as defined by contractual requirements.	+
I. Contractor compliance with Standards of Care is monitored through site visits, client satisfaction surveys, grievance requests, and outcome measures.	+
J. Contractor compliance with outcome measures and performance indicators are monitored through site visits and annual outcome indicators applicable to each service provided.	+
K. Contractors are monitored for compliance with service utilization objectives on an ongoing basis through monthly contract analysis reports.	+
L. Assessment of client satisfaction at all service sites is conducted annually.	+

Comments: Fiscal Agent staff is commended for exemplary efforts in completing program monitoring site visit written summary reports in a timely manner. The fiscal agent has a thorough program monitoring process with a diversity of tools with checks and balances that work.

4. Tracking Systems

<i>Standards</i>	<i>Panel Assessment of Standard</i>
A. HRSA Conditions of Award are in compliance on an ongoing basis.	+
B. Service utilization, demographics and contract compliance are tracked through a standardized system.	+
C. Requests for and response to technical assistance from Contractors are tracked with dates and type of TA provided included..	+
D. Unspent and unobligated funds, inclusive of Direct Services, Fiscal Agent Administrative, and Quality Management funding categories, are tracked and reported to the Council on a quarterly basis and included in a year-end report.	+

Comments: The many varied and complementary tracking systems are quite helpful. The TGA’s client-level database allows for accurate and timely reporting of client demographics, utilization and expenditures.

5. Contract Development

<i>Standards</i>	<i>Panel Assessment of Standard</i>
A. Contracts include requirements that service providers must comply with all HAB/HRSA and CARE Act policies and procedures, including all changes to such requirements that may occur during contract year.	+
B. Contracts include clauses to ensure compliance with any established and approved “directives” from the Council, including service delivery models on how to best meet the needs of the EMA/TGA.	+
C. Contracts include requirements for contractor compliance with Ryan White program web-based data collection system.	+
D. Contracts include clauses to ensure compliance with Council adopted Standards of Care.	+
E. Contracts include language which holds subcontractors accountable to the same contractual requirements of the lead agency.	+
F. Contracts include language which holds the lead agency liable for subcontractor compliance with contractual obligations.	+
G. Outcome measures and performance indicators are included in all service contracts for those categories with adopted outcome measures and performance indicators.	+
H. Contract language defines and assures the Fiscal Agent’s method and ability to terminate any contract when Contractor performance is unsatisfactory.	+
I. Service contracts between the Fiscal Agent and contracting agencies are negotiated for each Contractor within 90 days of “notice of grant award” from the Federal Government.	+
J. Service contracts between the Fiscal Agent and contracting agencies are signed by the Fiscal Agent and Contractor and implemented within 120 days of “notice of grant award” from the Federal Government. <i>(Signed Memorandum of Agreements between county governments may serve as operational contracts for the purposes of compliance with this standard.)</i>	+

Comments: The Fiscal Agent successfully navigates the three-county contracting structure despite the many challenges it presents in the management of the grant.

6. Priority Setting, Allocation, Reallocation, and Carryover

<i>Standards</i>	<i>Panel Assessment of Standard</i>
A. The FA disseminates in accordance with the Planning Council's PAC 01, Priority Setting and Resource Allocation Process for each Council approved service priority allocation amount including Direct Services, Planning Council Support, Fiscal Agent Administrative and Quality Management.	+
B. The Fiscal Agent provides the Council with a summary of approved service category allocations compared to actual contracted funds, including identification of the FA's use of the 10% margin for FA adjustments.	+
C. Summary of priorities and allocations is available at each Council meeting and is adjusted to reflect changes due to reallocations or carryover funds.	+
D. The FA ensures that all direct service contractors, Fiscal Agent Administrative and Quality Management funding categories submit a budget justification detailing utilization projections and plans to spend the balance of their contract within the remaining program year.	+
E. The FA ensures that all direct service contractors, Fiscal Agent Administrative and Quality Management funding categories contractors submit revised Scopes of Work and revised budgets when contracts are reduced or increased during the budget year.	+
F. Summaries of budget justifications for all direct service categories, Fiscal Agent Administrative and Quality Management funding categories are reported to the Council as part of the reallocation process.	+
G. The Fiscal Agent assesses contractor spending patterns, analyzes trends by agency, summarizes contractor requests and budget justifications, and prepares recommendations to the PAC for the use of reallocation funds.	+
H. All stages of the reallocation process, including the processing of contracts are completed within the timeframes required by the Council approved PAC 002 Policies and Procedures.	+
I. Request for carryover funds is developed in coordination with the PAC, and the request is submitted in advance of the deadline announced by HRSA.	+

Comments: The Planning Council is provided timely and comprehensive accurate utilization and expenditures in order to carry out its responsibilities in allocations, priority setting, reallocations and carryover.

7. Communication and Reporting

<i>Standards</i>	<i>Panel Assessment of Standard</i>
A. Standardized expenditure reports are provided to the Council monthly, quarterly and at year-end.	+
B. Standardized reports with descriptive narrative of aggregate client demographics and service utilization by service category are provided to the Council quarterly.	+
C. Standardized expenditure, demographics and service utilization reports as provided by the Fiscal Agent are accurate.	+
D. Reports are provided by the Fiscal Agent to the Council on a quarterly basis regarding contractor Technical Assistance requests, follow-up and outcomes.	+
E. Fiscal Agent will develop a timeline identifying site visit scheduling, occurrences, and completion of corrective action reports.	+
F. Summary reports regarding site visits and required follow up are provided to the Council through the Administrative Assessment Committee (AdAC).	+
G. The findings of the assessment of client satisfaction surveys are provided to the Council annually.	+
H. Contact information for Contractors is provided to the Council.	+
I. The Fiscal Agent follows the procedures adopted by the Council and FA regarding specific and non-standard information requests from the Council to the FA.	+

Comments: None noted.

8. Barriers and Concerns

<i>Standards</i>	<i>Panel Assessment of Standard</i>
A. The Fiscal Agent provides comprehensive written reports regarding concerns or barriers to accomplishing Fiscal Agent tasks, and possible solutions or action steps taken to overcome those concerns, augmented by verbal reports as needed, to the Executive Committee of the Council which forwards the FA reports to the full Council.	+
B. The Fiscal Agent provides reports regarding any sanctions on Contractors to the Executive Committee of the Council which forwards the FA reports to the full Council.	=
C. The Fiscal Agent attends Council, Executive Committee and Priorities and Allocations Committee meetings.	+
D. Requested FA reports are provided at Council, Executive Committee and PAC meetings when FA staff is unable to attend meeting in person.	+
E. The Fiscal Agent attends any additional Council Committee meetings where Fiscal Agent representation is necessary for completion of Committee business.	+
F. Fiscal Agent makes recommendations for changes to directives when directives cause observed barriers to care for the client population or have been deemed to violate state or federal laws or regulatory policies.	+

Comments: For the current fiscal year, the Fiscal Agent had the opportunity to take steps to address the most significant barriers in our TGA which are transportation, food, housing and residential substance abuse treatment. Within a minimal timeline, the Fiscal Agent was able to negotiate with contractors to apply for Supplemental Part B funds to provide much needed services to the TGA clients in these four areas.

9. Timeliness

<i>Standards</i>	<i>Panel Assessment of Standard</i>
A. Payment for services is made to each Contractor within 30 days of receiving an accurate and complete invoice once contracts are executed.	+
B. Notification of potential corrective action is provided to Contractors within 30 days of monthly invoice becoming overdue.	+
C. Corrective action is provided to Contractors within 45 days of monthly invoices becoming overdue.	+
D. Notification of spending trends is provided to the Council in the Fiscal Agent’s monthly reports.	+
E. Standardized Fiscal Agent financial and data reports are provided to the Council within 30 days of specialized Council requests.	+
F. The Fiscal Agent provides monthly and quarterly reports to the Executive Committee for review, which forwards the FA reports to the full Council for approval.	+
G. Fiscal Agent reports are sent in pre-meeting packets to Committee and Workgroups when a minimum of 3 weeks’ notice of an information request is provided to FA.	=
H. A standardized system is in place to require Contractors to submit accurate and complete invoices, client intake forms and narrative reports in a timely manner.	+
I. Notification to the Council of the amount of funds projected to be available for carryover is reported as outlined in PAC 002 timeline.	+

Comments: None noted.

10. Flexibility

<i>Standards</i>	<i>Panel Assessment of Standard</i>
A. Fiscal Agent modifies existing systems as necessary to ensure continuous delivery of service to clients using CARE Act funds.	+
B. Fiscal Agent considers advances to Contractors of up to 10% of each individual total contract award.	+
C. Fiscal Agent implements, monitors, and enforces Council directives.	+

Comments: The 2016 upgraded enhancement of the existing client-level database allows providers to comply with HRSA regulations and better address client needs.