

Department of State Health Services (DSHS)

Administrative Agency Site Review Tool

Date of Visit:

Contractor	
Location	
AA Contact/Title	
Period of Contract	
Contract Number	
DSHS Staff Conducting Review	
Program Staff Present	
DSHS Funded Staff	

SECTION I: GENERAL ADMINISTRATION

Indicate if program has met identified requirements using the following ratings:

M=Met Completely satisfies criteria) PM=Partially Met (Partially satisfies criteria and requires changes) NM=Not Met (Does not satisfy criteria/No evidence of competency) NO=Not Observed NE=Not Evaluated NA=Not Applicable

Administrative Capacity		
1.		The agency has an administrative policy and procedures manual or operations manual addressing major administrative systems and functions.
Comments: Requirements:		
2.		The administrative work-plan and performance measures are available for the entire HIV Administrative Service Area (HASA).
Comments: Requirements:		
3.		There is a clearly stated description that shows the agency's understanding of their role as an AA and their mission which includes the population to be served.
Comments: Requirements:		
4.		<p>A. There is evidence that the AA has developed standardized contract templates for subcontractors; and that all contracts incorporate programmatic, administrative, financial and reporting requirements including those necessary to include compliance with all applicable state regulations and policies.</p> <p>B. Ensure that the contract terms concur with the budget period/term of the federal/state award.</p>
Comments: Requirements:		
5.		The AA assures that its subcontractors have been free of sanctions from a funding source for evidence of client abuse and/or neglect since being awarded the contract.
Comments: Requirements:		
6.		There is evidence that subcontractors are reimbursed in a timely manner.
Comments: Requirements:		
7.		There is evidence that subcontractor expenditures are tracked monthly and that there is a comparison of actual to budgeted expenditures at least on a quarterly basis by service category.
Comments: Requirements:		
8.		The agency has a sanctions policy for resolving issues for subcontractors that non-compliant.
Comments: Requirements:		

Administrative Capacity		
	9.	The AA demonstrates ability to access and implement DSHS HIV/STD policy procedures and standards.
Comments:		
Requirements:		
	10.	The AA has a Policy or Procedure and can show evidence of addressing subcontractor grievances to resolution.
Comments:		
Requirements:		
	11.	The agency has job descriptions for staff assigned to monitor subcontractors that require qualifications appropriate to the task.
Comments:		
Requirements:		
	12.	There is evidence that the AA submits program reports to DSHS as contractually required and within the specified timeframe.
Comments:		
Requirements:		
	13.	There is a procedure in place that addresses issues involving an internal quality assurance system to ensure staff accountability.
Comments:		
Requirements:		
	14.	Additional administrative issues identified.
Comments:		
Requirements:		
	15.	Additional administrative issues identified.
Comments:		
Requirements:		
	16.	Additional administrative issues identified.
Comments:		
Requirements:		

SECTION II: GOVERNANCE

Governance		
The agency has the following documents available for review:		
	1.	The agency is governed by a Board of Directors that is functional and active. The following documents are available for review as evidenced by documentation.
Comments:		
Requirements:		
	2.	The Governing Body must undergo training consistent with DSHS format.
Comments:		
Requirements:		
	3.	The agency has a policy prohibiting appointment of officers who have been criminally convicted of fiduciary crimes. Note: This item may not apply if the governing board is locally elected or appointed officials.
Comments:		
Requirements:		
	4.	The agency has a system described in a policy or procedure to prepare program data and information for presentation to Governing Body. Note: if no Governing body then to the Executive Director.
Comments:		
Requirements:		
	5.	There is evidence that the Governing Body/Board is provided with program data as per the policy/procedure.
Comments:		
Requirements:		
	6.	Additional governance issues identified.
Comments:		
Requirements:		

SECTION III: PERSONNEL AND HUMAN RESOURCES

Personnel and Human Resources		
The agency has personnel policies that address:		
1.		New employee orientation.
Comments:		
Requirements:		
2.		Employee performance evaluations.
Comments:		
Requirements:		
3.		Processing staff grievances.
Comments:		
Requirements:		
4.		Confidentiality of personnel records.
Comments:		
Requirements:		
5.		Additional personnel and human resource issues identified.

SECTION IV: ESTABLISHING AND MONITORING SUB-CONTRACTS

Establishing and Monitoring Sub-Contracts		
	1.	The AA has a documented and published monitoring tool(s) that meets DSHS monitoring requirements.
Comments:		
Requirements:		
	2.	The AA has a policy and/or procedure describing the process of monitoring subcontractors and there is evidence that the process is complete.
Comments:		
Requirements:		
	3.	The AA has job descriptions for staff assigned to monitor subcontractors that require qualifications appropriate to the task.
Comments:		
Requirements:		
	4.	The AA has a tracking system for monitoring and T.A. visits to subcontractors and provides evidence that the tracking system is used.
Comments:		
Requirements:		
	5.	The AA has a system in place that establishes upcoming subcontractor visits.
Comments:		
Requirements:		
	6.	The AA provides evidence that subcontractors are monitored.
Comments:		
Requirements:		
	7.	The AA has a policy and/or procedure describing how it will provide Technical Assistance to subcontractors.
Comments:		
Requirements:		
	8.	The AA presents evidence of TA provided to contractors on administrative and programmatic issues.
Comments:		
Requirements:		
	9.	The AA provides evidence that DSHS "Payor of Last Resort" Policy (PoLR) is being followed by subcontractors.
Comments:		
Requirements:		
	10.	The AA has a policy/procedure clearly outlining a system for subcontractor selection of highly qualified service providers.
Comments:		
Requirements:		
	11.	A. The AA provides evidence of open competition for funding.

Establishing and Monitoring Sub-Contracts	
	B. Provide dates for the most current competitive processes for RWSD/SS and HOPWA.
Comments:	
Requirements:	
12.	There AA provides evidence that subcontractors provide services that are equitably available and accessible to all infected individuals needing services and/or care within the identified HASA.
Comments:	
Requirements:	
13.	The AA has a written and established process to assure that efforts are in place to bring people who know their HIV status and are out of care into care.
Comments:	
Requirements:	
14.	Additional establishing subcontracts and subcontractor monitoring issues identified
Comments:	
Requirements:	

Table1- Section IV				
Question 6				
Evidence of Monitoring				
Scope of Work	Subcontractor	Date of Review	Date of Closure	Comments
RW/SS				
This table must include all RW and SS subcontractor monitoring as well as T.A. visits conducted by the AA during the specified time frame. Subcontractor monitoring must follow AA policy(s) and DSHS requirements.				

SECTION V: MANAGING CONFLICT OF INTEREST

Managing Conflict of Interest		
	1.	<p>Agencies that function in a dual role as an administrative agency (AA) and as a service provider agency (PA) must provide proof to the Department of State Health Services (DSHS) that the following principles are adhered to:</p> <ul style="list-style-type: none"> • The agency has a documented internal structure that eliminates or greatly minimizes conflict of interest between AA and PA functions • The AA assures that the PA has no competitive or monitoring advantage over other service providers in the community • There is a separation of supervisory and fiscal responsibilities between the AA and the PA that eliminates or greatly minimizes conflict of interest <p>All the principles listed above are reflected in the agency's organizational chart, showing key personnel and chain of command.</p>
<p>Comments:</p> <p>Requirements:</p>		
	2.	An organizational chart including a description and function of key personnel and their funding sources are in place.
<p>Comments:</p> <p>Requirements:</p>		
	3.	The AA's policies and procedures reflect a structure that eliminates conflict of interest.
<p>Comments:</p> <p>Requirements:</p>		
	4.	There is a board-approved implementation plan that at a minimum addresses the competition process to award services funds.
<p>Comments:</p> <p>Requirements:</p>		
	5.	Additional issues identified managing conflict of interest with dually funded agencies.

**SECTION VI: CAPACITY TO FACILITATE ACCESS TO HIGH QUALITY
HIV- RELATED CARE**

Capacity to facilitate access to high quality HIV-related care		
	1a.	The AA has a mechanism that assures MOU's exist between service providers to ensure the provision for relevant client services.
Comments:		
Requirements:		
	1b.	The AA provides evidence that Ambulatory Outpatient Medical Care and Case Management providers are actively making and confirming client referrals the services outlined in 1a. above.
Comments:		
Requirements:		
	2a.	The AA must have written procedures that state contractors who provide or fund Ambulatory Outpatient Medical Care and Case Management adopt and follow USPHS in the care of HIV + clients.
Comments:		
Requirements:		
	2b.	The AA provides evidence that direct providers of Ambulatory Outpatient Medical Care and Case Management are utilizing the USPHS to care for HIV+ clients.
Comments:		
Requirements:		
	3a.	The AA has a written process for the verification of training, education and licensure for Clinical and Case Management service providers.
Comments:		
Requirements:		
	3b.	The AA provides evidence of following its policy for the verification of training, education and licensure for Clinical and Case Management services providers.
Comments:		
Requirements:		
	4a.	The AA has a written process to ensure that subcontractors develop and adhere to policies regarding verification of certification/licensure, credentials for professional staff, and for maintaining verification or current status. Verification must be done at least annually.
Comments:		
Requirements:		
	4b.	The AA provides evidence that subcontractors are following requirements to verify certification/licensure, credentials for professional staff and verification of current status on at least an annual basis.
Comments:		
Requirements:		
	5a.	The AA has a written process that ensures subcontractors develop, adhere to and maintain written clinical and/or case management protocol, policies and procedures.
Comments:		
Requirements:		
	5b.	There is evidence that subcontractors have written clinical and/or case management protocols, policies and procedures.
Comments:		
Requirements:		

	6a.	The AA has a written process to ensure that subcontractors develop, adhere to and maintain written physician Standing Delegation Orders (SDO) when required by law to provide clinical services. These must be updated annually.
Comments:		
Requirements:		
	6b.	The AA provides evidence that subcontractors have written physician Standing Delegation Orders (SDO) when required by law to provide clinical services. There is evidence that subcontractors update these annually.
Comments:		
Requirements:		
	7.	The AA assures subcontractors utilize DSHS HIV Case Management Standards or an alternative set of standards that have received prior approval from DSHS.
Comments:		
Requirements:		
	8.	The AA has a written process for Subcontractors who provide client services describing how the agency determines, documents and reports suspected instances of child abuse in accordance with chapter 261 of the Texas Family Code.
Comments:		
Requirements:		
	9.	There is evidence that the AA ensures subcontractors report and documented suspected instances of child abuse.
Comments:		
Requirements:		
	10.	The AA requires all subcontractors who provide client services to have a written process in place requiring documentation of staff training on determining, documenting and reporting child abuse.
Comments:		
Requirements:		
	11.	There is evidence that the AA ensures that subcontractors have a process for documenting staff training on child abuse determination, documentation and reporting.
Comments:		
Requirements:		
	12.	Additional issues identified with the Capacity to facilitate access to high quality HIV-related care.
Comments:		
Requirements:		

SECTION VII: PLANNING ACTIVITIES AND SUPPORT

G. Planning Activities and Support		
	1.	The AA provides evidence of effectively soliciting, supporting, and utilizing community input in the planning process.
Comments:		
Requirements:		
	2.	The AA provides evidence of collaborating with planning councils, other planning bodies, and subject matter experts as part of the community input process.
Comments:		
Requirements:		
	3.	The AA provides evidence of delivering appropriate information and materials to individuals or groups about planning processes, products, and outcomes.
Comments:		
Requirements:		
	4.	The AA provides evidence that the service priorities, allocations, and activities in the comprehensive plan are based on data and support the identified goals and objectives.
Comments:		
Requirements:		
	5.	The AA provides evidence that the service priorities, allocations, activities and goals in the comprehensive plan address unmet need and the issues highlighted in the Texas Statewide Coordinated Statement of Need (SCSN).
Comments:		
Requirements:		
	6.	The AA provides evidence of ensuring the planning staff complies with DSHS policies and procedures regarding planning processes and community input.
Comments:		
Requirements:		
	7.	The AA demonstrates that the AA planner meets the DSHS expectations listed in the Administrative Agency Planner Performance Standards, Expectations, Core Competencies, Duties and Required Activities.
Comments:		
Requirements:		
	8.	Additional issues identified with planning activities and support.
Comments:		
Requirements:		

SECTION VIII: PROGRAMMATIC DATA COLLECTION AND REPORTING

Programmatic Data Collection and Reporting		
	1.	<p>The agency provides evidence of using the AIDS Regional Information and Evaluation System to manage subcontractor' client level data.</p> <p>A. All contracts for service delivery are set up in ARIES.</p> <p>B. Each contracted service delivery has a contractor-estimated average unit cost associated with it in ARIES?</p> <p>C. There is evidence of timely and routine entry of service delivery information by service providers.</p> <p>D. The AA provides evidence that providers are instructed to report all Care Act Data Reporting (CADR) required data elements for all Ryan White eligible clients.</p> <p>E. There is evidence that the AA is monitoring data quality.</p>
<p>Comments:</p> <p>Requirements:</p>		
	2.	The agency has a job description and performance standards for their client-level program data manager that are consistent with DSHS requirements (DSHS HIV/STD Policy No. 241.002.
<p>Comments:</p> <p>Requirements:</p>		
	3.	The Uniform Reporting System (URS) data manager has passed the proficiency test.
<p>Comments:</p> <p>Requirements:</p>		
	4.	The agency has an adequate plan for providing technical assistance and training to subcontractors/providers on ARIES. There is evidence that the plan has been implemented.
<p>Comments:</p> <p>Requirements:</p>		
	5.	The agency provides evidence of evaluation and improvement of the quality of their program data. This includes the submission of the Data Improvement Plan (DIP) and evidence that the plan has been implemented.
<p>Comments:</p> <p>Requirements:</p>		
	6.	The agency provides evidence of timely and complete responses to requests for program information or actions required by the grantor
<p>Comments:</p> <p>Requirements:</p>		
	7.	The agency provides evidence of using program data for planning or program improvement? This must include evidence that service utilization data were used in allocation decisions.
<p>Comments:</p> <p>Requirements:</p>		
	8.	<p>The Administrative Agency assures that ARIES data are maintained in an environment that is physically and electronically secure at both the AA and subcontractor sites.</p> <p>A. The data manager assigns/maintains ARIES security levels and passwords for authorized system users at subcontractors and in house personnel</p>

		<p>B. The AA has adequate policies for setting appropriate access rights for the AA and subcontractor staff. There is evidence that they have been implemented.</p> <p>C. The data manager uses a security evaluation tool to check hardware location and employee security levels at the AA and subcontractors.</p> <p>D. The AA has a policy for termination of staff security rights. There is evidence that this policy has been implemented.</p>
Comments: Requirements:		
	9.	<p>There is evidence that appropriate client consent procedures for data sharing across providers are being followed.</p> <p>A. The AA provides evidence that it has given guidance to service providers regarding securing client consent for sharing data across providers?</p> <p>B. The ARIES data sharing consent form(s) is/are appropriate?</p>
Comments: Requirements:		
	10.	Additional issues identified with data collection and reporting.
Comments: Requirements:		

Section IX: QUALITY MANAGEMENT

I. Contractor Requirements		
	1.	There is an adequate Quality Management (QM) committee that includes:
Comments: Requirements:		
	2.	The AA documentation shows how QM is integrated within the organization for use in making management decisions. All levels of management must be able to understand and use the QM program to improve services.
Comments: Requirements:		
	3.	The AA has a documented Quality Improvement (QI) plan that meets DSHS requirements.
Comments: Requirements:		
	4.	The AA has a documented client satisfaction survey process and evidence that it has been conducted.
Comments: Requirements:		
	5.	The AA has a documented provider/subcontractor feedback system that follows DSHS

		requirements.
Comments:		
Requirements:		
	6.	The AA has a documented complaint process and provides documented evidence of its use.
Comments:		
Requirements:		
	7.	The AA has a documented system to identify, correct and monitor adverse outcomes.
Comments:		
Requirements:		
	8.	The AA has a documented system to monitor client utilization data and other quality related measures.
Comments:		
Requirements:		
	9.	The AA has a documented comprehensive subcontractor oversight process for administrative, clinical and case management.
Comments:		
Requirements:		
	10.	The AA provides documentation that on at least an annual basis, all policies and procedures of the agency will be reviewed, revised and approved by the required authority.
Comments:		
Requirements:		
	11.	The AA must maintain QM documentation on file and readily available for review upon request from HRSA or DSHS.
Comments:		
Requirements:		
	12.	Additional issues identified with Quality Management.
Comments:		
Requirements:		

