HB 5124 Provider Survey

1. Background

The following survey pertains to contracts between human services providers and four Illinois agencies: Department of Children and Family Services (DCFS), Department of Healthcare and Family Services (DHFS), Department of Human Services (DHS), and Department of Public Health (DPH). Depending on your organization's contracts, it is possible that this survey will be sent multiple times and to multiple people. Please complete the survey only one time for your overall organization regardless of whether you have multiple contracts or contracts with more than one of the agencies listed.

This comprehensive survey is broken out into six sections as follows: 1) general background; 2) financial information; 3) organizational/ governance information; 4) administrative/human resources information; 5) program information; and 6) other information. In order to complete the survey, we recommend that you print and share copies with those people in your organization most familiar with each of these areas, to assist in answering the questions. However, all questions must be completed in a single submission. You will be able to exit the survey and come back to complete it later, from the same computer, until you click "done."

Service providers have a unique perspective regarding the auditing requirements placed on them as part of their State contracts. "Audits" for purposes of this survey means requests for information to determine: compliance to contract and funding requirements, and/or continued eligibility as a service provider. Thank you for sharing information which will be important in helping the participating State agencies understand where they may need to focus their efforts in reducing redundancies in provider auditing procedures.

Frequently Asked Questions:

1. Why did I receive this survey?

In July, Governor Quinn put his signature on HB 5124 (DHS – Streamlined Auditing) which created Public Act 96-1141. This legislation seeks to lay the groundwork in establishing government monitoring procedures for contract compliance that are standardized and accepted across state agencies, with the objective to reduce paperwork and eliminate redundant monitoring.

The answers to the survey will provide important information about current auditing practices and the challenges faced by providers in meeting various agency compliance requirements issued by DCFS, DHFS, DHS, and DPH.

As a provider of human services in the State of Illinois, your feedback regarding the types of audits, accreditation and contracting relationships within your organization can help establish a framework for process improvement.

2. How long will it take me to take the survey?

30-60 minutes

3. Who should complete the survey?

One designated person in your organization familiar with your contract auditing requirements. You may wish to print a hard copy of the survey in advance to consider who is in the best position to answer the questions, or to first gather information from others before attempting to complete it online.

4. Why do I have to fill out this survey so quickly?

The report on the implementation of HB 5124 must be completed by December 31, 2010. Scheduled public hearings and survey information will result in data that must be analyzed in advance of the written report. The timeline has to be met so that there is time to use the data you provide in a meaningful and productive manner.

5. Whom should I contact if I have questions?

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If you have any questions please send them in an email to DHS.E-Update@Illinois.gov. There is also a glossary of terms available on Page 7 of this survey.

*** 1. In what counties does your organization, members, or grantees provide services? Please include both counties in which services are delivered and those in which clients reside. (The counties are alphabetized. Check all that apply)**

- All counties in Illinois
- Counties outside of IL
- Adams
- Alexander
- Bond
- Boone
- Brown
- Bureau
- Calhoun
- Carroll
- Cass
- Champaign
- Christian
- Clark
- Clay
- Clinton
- Coles
- Cook
- Crawford
- Cumberland
- De Witt
- DeKalb
- Douglas
- DuPage
- Edgar
- Hancock
- Hardin
- Henderson
- Henry
- Iroquois
- Jackson
- Jasper
- Jefferson
- Jersey
- Jo Daviess
- Johnson
- Kane
- Kankakee
- Kendall
- Knox
- Lake
- LaSalle
- Lawrence
- Lee
- Livingston
- Logan
- Macon
- Macoupin
- Madison
- Marion
- Morgan
- Moultrie
- Ogle
- Peoria
- Perry
- Piatt
- Pike
- Pope
- Pulaski
- Putnam
- Randolph
- Richland
- Rock Island
- Saline
- Sangamon
- Schuyler
- Scott
- Shelby
- St. Clair
- Stark
- Stephenson
- Tazewell
- Union
- Vermillion
- Wabash

- Edwards
- Effingham
- Fayette
- Ford
- Franklin
- Fulton
- Gallatin
- Greene
- Grundy
- Hamilton
- Marshall
- Mason
- Massac
- McDonough
- McHenry
- McLean
- Menard
- Mercer
- Monroe
- Montgomery
- Warren
- Washington
- Wayne
- White
- Whiteside
- Will
- Williamson
- Winnebago
- Woodford

* 2. What is your organization's FY11 budget?

- less than $200,000
- $200,000-$499,999
- $500,000-$999,999
- $1,000,000-$4,999,999
- $5,000,000-$14,999,999
- $15,000,000-$19,999,999
- $20,000,000 and above

3. Please identify if your organization is accredited by: (Please check all applicable answers)

- Council on Accreditation
- Joint Commission on Accreditation of Healthcare Facilities
- Commission on Accreditation of Rehabilitation Facilities
- National Association for the Education of Young Children

Other (please specify)

*** 4. From which state departments and divisions do you receive funding? Please check all applicable answers**

- Illinois Department of Children and Family Services
- Illinois Department of Healthcare and Family Services
- Illinois Department of Human Services—Alcohol and Substance Abuse
- Illinois Department of Human Services—Community Health and Prevention
- Illinois Department of Human Services—Developmental Disabilities
- Illinois Department of Human Services—Human Capital Development
- Illinois Department of Human Services—Mental Health
- Illinois Department of Human Services—Rehabilitation Services
- Illinois Department of Public Health

*** 5. How many different audits related to contracts with DHS, DCFS, DHFS, and DPH is your organization subjected to on an annual basis? (Please provide answer in numerical form, i.e. "5")**

*** 6. Please estimate how much time (in hours) your staff spends in preparing for each individual audit. Please provide answer in numerical form, i.e. 10.5.**

Average

Minimum

Maximum

2. Financial Information

The financial information items identified in the questions below are meant to be representative, and by no means exhaustive. If there is another example which you feel is important to highlight, please specify as “other.” You should refer to the same “other” for all questions in this section. If you wish to identify additional items, you may use question #28 to comment. Please consider only the four participating State agencies in your responses.

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*** 1. For which departments and divisions are you required to provide the following financial information?**

	DCFS	DHFS	DHS-DASA	DHS-CHP	DHS-DD	DHS-HCD	DHS-MH	DHS-RS	DPH
CPA audit									
A-133 Audit									
Consolidated Financial Report									
Financial Statement									

Other (please specify)

*** 2. For what purposes are you providing financial information to state departments/divisions?**

	Desk review	Onsite review	Licensure	Oversight groups	Other
CPA audit					
A-133 Audit					
Consolidated Financial Report					

Other (please specify)

3. To what extent is the financial information requested the same across state departments/divisions? Answer only if you have multiple contracts with departments and/or divisions.

	5=High similarity	4	3	2	1=not the same
CPA audit					
A-133 Audit					
Consolidated Financial Report					

Other (please specify)

4. To what extent is the financial information requested the same as what is required by accrediting bodies? (If your organization is not accredited, skip to next question)

	5=High similarity	4	3	2	1=not the same
CPA audit					
A-133 Audit					
Consolidated Financial Report					

Other (please specify)

*** 5. To what extent is the financial information requested by state departments/divisions the same as what is required by other municipal funding sources (city, county, township)?**

	5=High similarity	4	3	2	1=not the same
CPA audit					
A-133 Audit					
Consolidated Financial Report					

Other (please specify)

3. Organizational/Governance Information

The organizational/governance information items identified in the questions below are meant to be representative, and by no means exhaustive. If there is another example which you feel is important to highlight, please specify as “other.” You should refer to the same “other” for all questions in this section. If you wish to identify additional items, you may use question #28 to comment. Please consider only the four participating State agencies in your responses.

*** 1. For which departments and divisions are you required to provide the following organizational/governance information?**

	DCFS	DHFS	DHS-DASA	DHS-CHP	DHS-DD	DHS-HCD	DHS-MH	DHS-RS	DPH
By-laws									
501c3 letter									
Board materials									

Other (please specify)

*** 2. For what purposes are you providing organizational/governance information to state departments/divisions?**

	DCFS	DHFS	DHS-DASA	DHS-CHP	DHS-DD	DHS-HCD	DHS-MH	DHS-RS	DPH
By-laws									
501c3 letter									
Board materials									

Other (please specify)

3. To what extent is the organizational/governance information requested the same across state departments/divisions? Answer only if you have multiple contracts with departments and/or divisions.

	5=High similarity	4	3	2	1=not the same
By-laws					
501c3 letter					
Board materials					

Other (please specify)

4. To what extent is organizational/governance the information requested the same as what is required by accrediting bodies? (If your organization is not accredited, skip to next question)

	5=High similarity	4	3	2	1=not the same
By-laws					
501c3 letter					
Board materials					

Other (please specify)

*** 5. To what extent is the organizational/governance information requested by state departments/divisions the same as what is required by other municipal funders (city, county, township)?**

	5=High similarity	4	3	2	1=not the same
By-laws					
501c3 letter					
Board materials					

Other (please specify)

4. Administrative/Human Resources Information

The administrative/human resources information items identified in the questions below are meant to be representative, and by no means exhaustive. If there is another example which you feel is important to highlight, please specify as "other." You should refer to the same "other" for all questions in this section. If you wish to identify additional items, you may use question #28 to comment. Please consider only the four participating State agencies in your responses.

*** 1. For which departments and divisions are you required to provide the following administrative/human resources information?**

	DCFS	DHFS	DHS-DASA	DHS-CHP	DHS-DD	DHS-HCD	DHS-MH	DHS-RS	DPH
Personnel handbook									
Job descriptions									
Staff: licenses/certification/credentials									

Other (please specify)

*** 2. For what purposes are you providing administrative/human resources information to state departments/divisions?**

	Desk review	Onsite review	Licensure	Oversight groups
Personnel handbook				
Job descriptions				
Staff: licenses/certification/credentials				

Other (please specify)

*** 3. To what extent is the administrative/human resources information requested the same across state departments/divisions? Answer only if you have multiple contracts with departments and/or divisions.**

	5=High similarity	4	3	2	1=not the same
Personnel handbook					
Job descriptions					
Staff: licenses/certification/credentials					

Other (please specify)

4. To what extent is the administrative/human resources information requested the same as what is required by accrediting bodies? (If your organization is not accredited, skip to next question)

	5=High similarity	4	3	2	1=not the same
Personnel handbook					
Job descriptions					
Staff: licenses/certification/credentials					

Other (please specify)

*** 5. To what extent is the administrative/human resources information requested by state departments/divisions the same as what is required by other municipal funding sources (city, county, township)?**

	5=High similarity	4	3	2	1=not the same
Personnel handbook					
Job descriptions					
Staff: licenses/certification/credentials					

Other (please specify)

5. Program Information

The program information items identified in the questions below are meant to be representative, and by no means exhaustive. If there is another example which you feel is important to highlight, please specify as “other.” You should refer to the same “other” for all questions in this section. If you wish to identify additional items, you may use question #28 to comment. Please consider only the four participating State agencies in your responses.

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*** 1. For which departments and divisions are you required to provide the following program information?**

	DCFS	DHFS	DHS-DASA	DHS-CHP	DHS-DD	DHS-HCD	DHS-MH	DHS-RS	DPH
Quality assurance									
Risk management/life safety plans									
Client rights policies/client grievances									

Other (please specify)

*** 2. For what purposes are you providing program information to state departments/divisions?**

	Desk review	Onsite review	Licensure	Oversight groups
Quality assurance				
Risk management/life safety plans				
Client rights policies/client grievances				

Other (please specify)

3. To what extent is the program information requested the same across state departments/divisions? Answer only if you have multiple contracts with departments and/or divisions.

	5=High similarity	4	3	2	1=not the same
Quality assurance					
Risk management/life safety plans					
Client rights policies/client grievances					

Other (please specify)

4. To what extent is the program information requested the same as what is required by accrediting bodies? (If your organization is not accredited, skip to next question)

	5=High similarity	4	3	2	1=not the same
Quality assurance					
Risk management/life safety plans					
Client rights policies/client grievances					

Other (please specify)

*** 5. To what extent is the program information requested by state departments/divisions the same as what is required by other municipal funders (city, county, township)?**

	5=High similarity	4	3	2	1=not the same
Quality assurance					
Risk management/life safety plans					
Client rights policies/client grievances					

Other (please specify)

6. Other Information

This is your opportunity to let us know if there are critical areas which were not addressed in the previous questions, to offer suggestions on how to eliminate redundancies in provider auditing, and to provide any other comments. Your input is welcomed and greatly appreciated.

1. Is there any other category of information that is required by more than one state department/division?

- Yes
- No
- I don't know

If yes, please describe briefly and/or give examples

2. Among the four participating agencies, which state departments/divisions require this information?

3. For what purposes is the information required?

4. How similar is the information required across state divisions/departments (rate 1-5, with 5 being the most similar)?

5. What suggestions do you have to reduce the amount of redundant reporting required?

6. Do you have any other comments?

Thank you for your participation in our survey!

7. Glossary

Agency Financial Report/Statement - Financial reports/statements are expected to summarize what fiscal events took place within an organization during a given reporting period. Financial statements should indicate sources of revenue, use of the organization's resources and give a clear picture of the financial condition of the organization and indication of future potential for continued operation. Financial statements include an income statement, cash flow statement or balance sheet.

A-133 - a certified audit which includes both the provider's financial statements and the federal awards needed when the provider expends $500,000 or more in a year in federal funds as outlined in Section .500 of Circular no. A-133 of the Federal Register.

CPA Audit - Agency financial reports/statements, which have been developed and fully reviewed by an accountant following GAAP guidelines, for which the auditor has rendered an Independent Auditor's Report.

Consolidated Financial Report - This report is designed to identify the allowable expenses for each "program" for which a "rate" must be calculated for purchase of care/fee-for-service by the state consisting of schedule of program costs, schedule of program revenues, schedule of personnel costs, schedule of consultant/contractual costs, and schedule of units of service delivered.

501c3 letter - A 501 (c) letter is issued by the IRS informing the applicant organization certifying the entity as a charitable organization organized and operated exclusively for purposes set forth in section 501(c)(3) of the IRS Code. The letter also states that contributions to the organization are deductible under Section 170 of the code. The organization is also qualified to receive tax deductible bequests, devises, transfers or gifts under section 2016, 2055 or 2522 of the code.