



THE RESOURCE ALLOCATIONS PROCESS

(FOR ALLOCATING RYAN WHITE PART A GRANT FUNDS TO ELIGIBLE HIV TREATMENT AND SUPPORT SERVICES IN THE AUSTIN 5-COUNTY AREAS OF BASTROP, CALDWELL, HAYS, TRAVIS, AND WILLIAMSON)

Guiding Principles:

- Decisions should be based on availability of other governmental and non-governmental resources.
- The process is subject to public scrutiny and to grievance procedures.
- The process must be public and fully documented in writing.
- Conflicts of interest are of concern, and must be clearly identified, defined, and enforced throughout the process.
- While much of the preliminary work is delegated to the Allocations Committee, the planning council body as a whole is expected to make final decisions for resource allocations.

Suggested Steps:

- Define the scope of the resource allocations process
 - Carryover, initial allocations, reallocation, Ryan White Part A, Minority AIDS Initiative (MAI), etc.
- Agree on the principles, criteria, process, and methods to be used in allocating funds to service categories.
- Identify services for funding.
- Determine criteria
- Identify areas of uncertainty and needed improvement
- Estimate needs by service category.
- Allocate resources to service categories.
 - Start with previous year's allocation
 - Look at utilization trends
 - Evaluate emerging needs and future changes that could influence the level of need (needs assessment, legislative changes, etc.)
 - Make changes to original amount, if necessary
- Provide decisions to the Administrative Agency for use in procurement.
- Identify areas of uncertainty and needed improvement.

Documenting the Process:

- Committee structure
- Policies and plans for managing conflict, disclosure of conflicts.
- Service categories and priorities for the past year.



- Information inputs
 - Other funding sources, epidemiology, provider survey, historical funding, utilizations data, public comment, prevalence vs. utilization
- Ground rules and overall approach.
- Explanations/rationale.

Conflict of Interest

What is a conflict of interest?

- When your personal interests influence your objective ability to adhere to the highest standards in decision making, **or** if it *appears* so to the public/an observer, you are considered to have a conflict of interest.
- Conflicts can arise in a number of ways:
 - Financial relationships
 - Occupational concerns
 - Personal relationships

Important points about public board service and conflict of interest:

- Local governments rely on the service of community-minded individuals whom public trust is divested to make fair, equitable, and ethical decisions.
- Board members are considered public officials who conduct the public's "business" with public resources.
- As a public official, board members are subject to laws that are designed to ensure the transparency and impartiality of government activity and decisions.
- In addition to local and State conflict of interest statutes, Public/City boards involving the use of federal funds are also subject to conflict of interest requirements under federal law.

Conflict of interest issues may be managed by the following:

- Complete prohibition of conflicts of interest [in specified decision-making processes]
- Mandatory recusal:
 - During **discussion** of topics where a conflict may exist, and/or
 - During the actual voting process
- Sound judgment on the part of all parties, particularly the individual who may have a conflict of interest.

** The City of Austin Code requires a board member to recuse themselves when the member has a "substantial interest" in a person or entity that would be "affected" by a vote of the board of which he or she is a member. A "substantial interest" may arise from ownership, income, control, debt, family, or business transactions.*

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