



Office of Management and Budget,
Grants Coordination/Ryan White Program (OMB)
Site Visit Required Documentation Checklist

Instructions:

Only submit the documents listed below if your organization created, revised, or renewed them after January 1, 2017. Documents established prior to this date are already on file at OMB unless otherwise noted. Current versions of any highlighted items below must also be submitted. **Additional documentation may be requested at the on-site visit, as needed.**

Check the box below for any item your organization is submitting to OMB and **write the corresponding Section number and letter (e.g., “Section IV a.”) at the top right corner of the document.** Items listed below correspond to sections in the Ryan White Program Site Visit Monitoring Instrument.

**SECTION IV:
BUILDING MAINTENANCE/ACCESSIBILITY/RISK MANAGEMENT**

- a. Certificate of Use and Occupancy
- b. Local Business Taxes receipt, if applicable
- c. Life Safety Operating Permit
- d. Fire Alarm Annual Inspection Report
- e. Fire Extinguisher and Sprinkler System Annual Inspection Report(s)
- f. Elevator Inspection Report, (if applicable)
- g. Incident, Injury, and Hazard Management Tracking and Reporting Policy and Log
- h. Continuity of Operations Plan (COOP)
- i. Walk-In Policy (Outpatient/Ambulatory Health Services, Oral Health Care, Medical Case Management, and Pharmacy Services only)
- j. 24 Hour On-Call /After Hours Coverage Policy (Outpatient/Ambulatory Health Services, Oral Health Care, Medical Case Management, and Pharmacy Services only)

**SECTION V:
BILLING PRACTICES**

- a. Payer of Last Resort Policy
- b. Third Party Payer Policy
- c. Third Party Payer Screening Policy/Procedure/Form
- d. Third Party Billing and Collection Policies
- e. Medicaid/Medicare Billing Procedure, including Claim Denial Follow-up Procedures
- f. Medicaid/Medicare Retroactive Billing Procedure
- g. Refusal of Service Policy and Log (addressing potential refusal reasons; and ensuring Ryan White Program-eligible clients with pre-existing conditions or Veterans Administration benefits are not refused services)
- h. Medifax or Medicaid Eligibility Verification System (MEVS) Procedures

SECTION VI: DOCUMENTATION OF CLIENT ELIGIBILITY

- No Documents required at this time. Client chart review of eligibility is performed onsite by OMB staff. A list of CIS numbers to be reviewed will be provided at least one day before the scheduled visit.***

SECTION VII: OPERATING POLICIES

- a. Program Operational Policies and Procedures
 - b. Drug-Free Workplace Policy
 - c. Equal Employment Policy and/or Affirmative Action Policy
 - d. Sexual and Unlawful Harassment Policy
 - e. Code of Ethics Policy (for the agency not the Board of Directors)
 - f. Anti-Kickback Policy
 - g. Fraud, Waste, and Mismanagement Policy
 - h. Conflict of Interest Policy
 - i. Nepotism Policy
 - j. Client Confidentiality Policy
 - k. Health Insurance Portability and Accountability Act of 1996 (HIPAA) Policy
 - l. Access to Public Records Policy
 - m. HRSA Disclaimer on official statements, press releases, or any other publication supported wholly or partially by HRSA funding
 - n. Informal Complaint and Formal Grievance Policy (log will be reviewed during visit)
 - o. General outreach for client recruitment Policy
 - p. Workplace Violence Policy
 - q. Whistleblower Policy
 - r. Corporate Compliance Plan (for Medicaid and Medicare providers)
 - s. Linkage Agreements with Key Points of Entry
 - t. Hiring Policy
 - u. "Pink Slime" Policy (Food Bank and Residential Substance Abuse Treatment subrecipients only)
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SECTION VIII: CLIENT PARTICIPATION IN THE SUBRECIPIENT'S OPERATIONS

- a. Documentation of Client Representation on the Board of Directors and/or Minutes of Client Advisory Board meeting
- b. Results of Client Satisfaction Survey and/or Focus Group Report
- c. Needs Assessment
- d. Analysis of Comment Cards/ Suggestion Box Responses
- e. Documentation that the Results of Client Input were presented to the Board of Directors
- f. Documentation of Program Enhancements Implemented as a result of Client Participation

SECTION IX: BOARD OF DIRECTORS' ACTIVITIES

- a. Board roster with name, gender, race, and ethnicity of each board member (lists may also include occupation and home address)
- b. Demographics of agency's client population (especially for the Ryan White Program)
- c. Minutes of the last three Board meetings
- d. Board of Directors Bylaws (including policy regarding transparency in financial transactions)
- e. Board of Directors' Code of Ethics/Standards of Conduct

SECTION X: CULTURALLY AND LINGUISTICALLY APPROPRIATE SERVICES STANDARDS

- a. Limited English Proficiency Policy
 - b. Written materials in English, Creole, and/or Spanish, at least
 - c. Documentation of Interpreter Training
 - d. Copy of Mission Statement, Vision Statement, and/or Organizational Goals
 - e. Documentation of Cultural Sensitivity trainings (orientation and annual; Board, management, staff)
 - f. Meeting minutes, Strategic Plan, Continuous Quality Improvement reports, and/or CLAS Policies and Procedures
 - g. Documentation of ongoing assessment of CLAS-related activities and/or integration of cultural and linguistic competence-related outcome and performance measures
 - h. Documentation of cultural and linguistic-related data collection of client population and community
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SECTION XI: PERSONNEL POLICIES AND PROCEDURES

- a. Personnel Policies and Procedures (Employee Manual)
 - b. Policy prohibiting lobbying
 - c. Policy discouraging hiring of personnel with a felony background
 - d. Policy prohibiting hiring of personnel under Medicaid or Medicare investigation
 - e. Policy discouraging large signing bonuses
 - f. Job Descriptions of Ryan White Program-funded staff positions
 - g. Any Collective Bargaining Agreements applicable to funded employees
 - h. Policy for screening staff who are wholly or partially funded under Federal grants to assure they are not on the federal Exclusion lists at <https://www.sam.gov> and www.exclusions.oig.hhs.gov
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SECTION XII: FISCAL MANAGEMENT

- a. General Fiscal Accounting Policies and Procedures
- b. Current Organizational Chart
- c. Segregation of Duties Policy and Procedures
- d. Chart of Accounts
- e. General Ledger
- f. Current and prior year Operating Budget
- g. Bank Account Listing. Identify the account that is specifically established for Ryan White Program funding.
- h. Most Current Income and Expenses Report
- i. Cost Allocation Plan and Methodology
- j. Nonprofit status 501(c)3 Letter
- k. Form 990 and/or Form 8868 (Extension Request Form) most current tax year
- l. Check Signing Policy
- m. Verification of Check Signers' Signature
- n. Check Request Form (Sample)
- o. Voided Check Policy
- p. Petty Cash Policy and Log
- q. Purchasing and Procurement Policies and Procedures
- r. Allowable and Unallowable Costs Statement
- s. Accounts Payable Policy

- t. Accounts Receivable Policy
- u. Program Income Policy
- v. Sliding Fee Scale and Policy
- w. Cost Center on Chart of Accounts for Program Income
- x. Program Income Tracking Report(s)
- y. Agency-wide budget
- z. Budget Variance Reports for the grant year (March 1, 2018 – February 28, 2019)
- aa. Most recent Single Audit, Audited Financial Statement, and/or Management Letter, if applicable (**NOTE: Only submit the most current audit if it hasn't already been submitted to OMB.**)
- bb. Documentation (minutes) of Board of Director's and/or Finance Committee review of the most current audit

SECTION XIII: PAYROLL RECORDS

- a. Forms/templates used to document, certify, and reconcile staff compensation and distribution of the employee's salary or wages across funding sources (i.e., documentation of personnel expenses, Federally-funded support of wages and salaries, Time and Effort, etc.)

SECTION XIV: PAYROLL TAX RECORDS AND PAYMENT OF FRINGE BENEFITS

- a. Invoices from Benefits Providers
 - b. Payment Reconciliation
 - c. Quarterly IRS Form 941 submitted during the grant year 2018 (Copies of 1st and 2nd Quarters)
 - d. State of Florida Form RT-6 (formerly UCT-6 submitted during the 2018 grant year (Copies of 1st and 2nd Quarters)
 - e. Annual IRS form 990 (Return of Organization Exempt from Income Tax)
 - f. State Unemployment UCT-6 submissions during the 2018 grant year (Copies of 1st and 2nd Quarters)
 - g. Federal Unemployment Forms 940 submitted during the grant year 2018 (Copies of 1st and 2nd Quarters)
 - h. COBRA Insurance Continuation Policies and Procedures (if subrecipient has more than 20 employees)
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**SECTION XV:
PROTECTION OF RECORDS**

- a. Records Management Policies and Procedures
- b. Confidentiality Statement for employees (at a minimum at time of hire)
- c. HIPAA/Protection of Information policy
- d. Policy for safeguarding files
- e. Record Access Policy
- f. Computer/Server Back-up Procedures
- g. Record Access Log

**SECTION XVI:
PROTECTION OF PROPERTY (SUBMIT IF PROPERTY >\$1,000 PER ITEM WAS
PURCHASED WITH RYAN WHITE PROGRAM FUNDS)**

- a. Property Management Policy, if applicable
- b. Fixed Assets Policy
- c. Fixed Assets Register, if applicable
- d. Copy of General Ledger reconciliation of property records, if applicable

**SECTION XVII:
SUBCONTRACTS RELATED TO RYAN WHITE SERVICES (IF APPLICABLE)**

- a. Subcontract(s) (signed and dated by both parties) for the current grant fiscal year (March 1, 2018 – February 28, 2019)
- b. Documentation of Competitive Selection Process
- c. Subcontractor's Liability Insurance
- d. Policies and Procedures for Subrecipient's Subcontractor Compliance Monitoring

**SECTION XVIII:
LICENSES AND ACCREDITATIONS**

- a. Specialized operational license(s) – medical, dental, pharmacy facility, etc.
 - b. Proof of accreditation, if applicable – e.g., Joint Commission, etc.
 - c. Other licensures not identified
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SECTION XIX: INSURANCE COVERAGE

NOTE: ONLY SUBMIT COPIES OF INSURANCE CERTIFICATES IF THERE ARE UPDATES THAT HAVE NOT BEEN SUBMITTED YET TO THE COUNTY OR IF ANY ITEM IS HIGHLIGHTED BELOW.

- a. Commercial General Liability Insurance in effect during the grant year (March 1, 2018–February 28, 2019)
- b. Property Insurance in effect during the grant year (March 1, 2018–February 28, 2019)
- c. Worker Compensation Insurance in effect during the grant year (March 1, 2018–February 28, 2019)
- d. Commercial auto, automobile liability and non-owned automobile insurance, if applicable, in effect during the grant year (March 1, 2018–February 28, 2019)
- e. Federal Tort Claims Act (FTCA) Deeming Notification Letter in effect during the grant year (March 1, 2018–February 28, 2019) (FQHCs' only)

SECTION XX: PROGRAM REPORTING REQUIREMENTS

- No Documents required at this time. These reports are already on file with OMB. Submission dates will be reviewed and recorded for the site visit.***

SECTION XXI: QUALITY MANAGEMENT AND CONTINUOUS QUALITY IMPROVEMENT

- a. Quality Management Program Plan
- b. Membership Roster of Quality Management Committee
- c. Minutes of the last three (3) Quality Management Committee meetings for the grant year (March 1, 2018 – February 28, 2019)
- d. Last External Continuous Quality Improvement Review