



Office of Management and Budget, Grants  
Coordination/Ryan White  
Part A Program

Pre-Site Visit Required Documentation Checklist

Instructions: Check the box for any item you are attaching and title each document according to the corresponding section number and letter.

TO ENSURE THE INTEGRITY OF THE RYAN WHITE PART A/MAI PROGRAM AND EACH CLIENT'S RIGHT TO PRIVACY, PLEASE BE MINDFUL OF YOUR ORGANIZATION'S CONTRACTUAL OBLIGATIONS REGARDING THE IMPORTANCE OF AND POTENTIAL LIABILITY RELATED TO SECURITY MEASURES FOR CONFIDENTIAL INFORMATION WHEN SHARING REQUESTED DOCUMENTATION.

SECTION IV:  
BUILDING MAINTENANCE/ACCESSIBILITY/RISK MANAGEMENT

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- ☐ a. Local Business Taxes or Documentation of Exemption from Local Business Taxes
- ☐ b. Life Safety Operating Permit [annual review by the Miami-Dade County Fire Rescue Department of fire standards such as occupancy limit, fire alarm systems, fire extinguishers, sprinkler systems, elevator system (if applicable), and other life safety factors such as ingress and egress requirements]
- ☐ c. Incident, Injury, and Hazard Management Tracking and Reporting Policy
- ☐ d. Current Incident, Injury, and Hazard Management Tracking and Reporting Log
- ☐ e. Continuity of Operations Plan (COOP) or Emergency Preparedness Plan **[If the COOP was updated after Part A/MAI contract execution]**
- ☐ f. Walk-In Policy (Outpatient /Ambulatory Health Services, Oral Health, Medical Case Management, and Pharmaceutical Services only)
- ☐ g. 24 Hour On-Call /After Hours Coverage Policy (Outpatient/Ambulatory Health Services, Oral Health, Medical Case Management, and Pharmaceutical Services only)

SECTION V:  
BILLING PRACTICES

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- ☐ a. Payer of Last Resort Policy
- ☐ b. Third Party Payer Policy
- ☐ c. Third Party Payer Screening Policy/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



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- ☐ g. Medifax or MEVS Procedures
- ☐ h. Refusal of Service Policy
- ☐ i. Refusal of Service Log

SECTION VI:  
DOCUMENTATION OF CLIENT ELIGIBILITY

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- ☒ ***No Documents required at this time. Client chart review of eligibility is performed virtually in the Provide® Enterprise Miami (PE Miami) data system by OMB staff.***

SECTION VII:  
OPERATING POLICIES

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- ☐ a. Program Operations Policies and Procedures
- ☐ b. Drug-Free Workplace Policy
- ☐ c. Affirmative Action Policy and/or Equal Employment Policy
- ☐ d. Sexual and Unlawful Harassment Policy
- ☐ e. Workplace Violence Policy
- ☐ f. Whistleblower Policy
- ☐ g. Client Confidentiality Policy
- ☐ h. HIPAA Policy
- ☐ i. Access to Public Records Policy
- ☐ j. Anti-Kickback Policy
- ☐ k. Fraud, Waste, and Mismanagement Policy
- ☐ l. Code of Ethics
- ☐ m. Conflict of Interest Policy
- ☐ n. Nepotism Policy
- ☐ o. Informal Complaint and Formal Grievance Policies and Procedures
- ☐ p. General Outreach for Client Recruitment Policy
- ☐ q. Linkage Agreements with Key Points of Entry



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- ☐ r. Corporate Compliance Plan (for Medicaid or Medicare Providers)
- ☐ s. Hiring Policy
- ☐ t. "Pink Slime" Policy (Food Bank and Residential Substance Abuse Services only)
- ☐ u. Any HRSA-supported publications and/or forums describing projects or programs supported wholly or partially by HRSA funding that include the required acknowledgment and disclaimer (if applicable)

SECTION VIII:

CLIENT PARTICIPATION IN OPERATIONS

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- ☐ 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

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- ☐ a. Roster with name, gender, race, ethnicity, occupation, and home address of each board member
- ☐ b. Board of Directors' Code of Ethics/Standards of Conduct
- ☐ c. Board of Directors Bylaws
- ☐ d. Minutes of the last three Board meetings

SECTION X:

CULTURALLY AND LINGUISTICALLY APPROPRIATE SERVICES STANDARDS

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- ☐ a. Limited English Proficiency Policy
- ☐ b. Written materials in English, Creole, and/or Spanish at least (samples)
- ☐ 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)



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- ☐ f. Meeting minutes, Strategic Plan, and/or Culturally and Linguistically Appropriate Standards (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

SECTION XI:  
PERSONNEL POLICIES AND PROCEDURES

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- ☐ a. Personnel Policies and Procedures (Employee Manual)
- ☐ b. Policy prohibiting Lobbying
- ☐ c. Policy prohibiting hiring of personnel under Medicaid or Medicare investigation
- ☐ d. Policy discouraging hiring of personnel with a felony background
- ☐ e. Policy discouraging large signing bonuses
- ☐ f. Policy for screening staff who are wholly or partially funded under Federal grants
- ☐ g. Selections to be made of individual budgeted staff to review personnel records (see Appendix C of Comprehensive Monitoring Instrument) – *OMB-RWP monitoring staff will identify staff records to be reviewed during the site visit*

SECTION XII:  
FISCAL MANAGEMENT

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- ☐ a. General Fiscal Accounting Policies and Procedures
- ☐ b. Most current Organizational Chart
- ☐ c. Segregation of Duties Policy and Procedure
- ☐ d. Chart of Accounts
- ☐ e. General Ledger (review to include a review of the identification, in its accounts, of Federal awards received and expended and the Federal program under which they were received and verify transaction selections. The Federal program and Federal award identification must include the CFDA title and number, FAIN and year, name of the HHS awarding agency and name of pass-through entity) for the month(s) of \_\_\_\_
- ☐ f. Balance sheet for the month(s) of \_\_\_\_
- ☐ g. RWP bank statement(s) and corresponding reconciliation for the month(s) of \_\_\_\_
- ☐ h. Most current Operating Budget
- ☐ i. Bank Account Listing (which Account Is Used to deposit Ryan White Program Revenues)



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- ☐ j. Cost Allocation Plan and Methodology
- ☐ k. Nonprofit status 501(c)3 Letter
- ☐ l. Form 990 and/or Form 8868 (Extension Request Form) for most current tax year
- ☐ m. Check Signing Policy
- ☐ n. Accounts Payable Payment Request Form (Sample)
- ☐ o. Voided Check Policy
- ☐ p. Petty Cash or Purchase Card Policy and Log for the month(s) of \_\_\_\_
- ☐ q. Purchasing and Procurement Policies and Procedures
- ☐ r. Written procedures for determining the allowability of cost charged to the program
- ☐ s. Accounts Payable Policy
- ☐ t. Accounts Receivable Policy
- ☐ u. Imposition of Charges Policy
- ☐ v. Program Income Collection and Use Policy
- ☐ w. Program Income Tracking Report(s) for previous and current grant fiscal year
- ☐ x. Sliding Fee Scale and Policy
- ☐ y. Cost Center on Chart of Accounts for Program Income
- ☐ z. Most current Agency-wide budget that lists expenses by cost category across all revenue sources indicating how costs are shared for HIV related services
- ☐ aa. Most Current comparison of expenditures with budget amounts for this Federal award (e.g., Budget Variance Reports) for the grant fiscal year
- ☐ bb. Most recent Single Audit, Audited Financial Statement, and/or Management Letter, if applicable
- ☐ cc. Policy on the selection of an independent auditor
- ☐ dd. Copy of most recent independent auditor's peer review
- ☐ ee. Documentation (minutes) acknowledging Board of Directors and/or Finance Committee's review of the most current audit

SECTION XIII:  
PAYROLL RECORDS

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- ☐ a. Written procedures for determining the allowability of compensation of personal services charged to the grant



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- ☐ b. Sample documentation used to support the FTE charged to the program (e.g., payroll activity reports) – *OMB-RWP monitoring staff will identify staff records to be reviewed during the site visit*
- ☐ c. Selections to be made of individual budgeted staff to review actual documentation supporting the staff's time charged to the program – *OMB-RWP monitoring staff will identify staff records to be reviewed during the site visit*

SECTION XIV:

PAYROLL TAX RECORDS AND PAYMENT OF FRINGE BENEFITS

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- ☐ a. Invoices from Benefits Providers (e.g., health insurance, life insurance, retirement plans) as well as payment reconciliation documentation verifying that the invoices were paid – *OMB-RWP monitoring staff will identify staff records to be reviewed during the site visit. Information for other staff not listed in the review may be redacted.*
- ☐ b. Quarterly IRS Form 941 submitted during the most current grant year (Copies of 1<sup>st</sup> and 2<sup>nd</sup> Quarters)
- ☐ c. State of Florida Form RT-6 (formerly UCT-6 submitted during the most current grant year (Copies of 1<sup>st</sup> and 2<sup>nd</sup> Quarters)
- ☐ d. Federal Unemployment Forms 940 submitted during the most current grant year (Copies of 1<sup>st</sup> and 2<sup>nd</sup> Quarters)
- ☐ e. COBRA Insurance Continuation Policies and Procedures (if subrecipient has more than 20 employees)

SECTION XV:

PROTECTION OF RECORDS

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- ☐ a. Records Management Policies and Procedures
- ☐ b. Confidentiality Statement
- ☐ 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 (IF APPLICABLE TO THE RYAN WHITE PROGRAM)

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- ☐ a. Fixed Assets Policy
- ☐ b. Property Management Policy, if applicable



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- ☐ c. Fixed Assets Register, if applicable

SECTION XVII:

SUBCONTRACTS RELATED TO THE PROVISION OF RYAN WHITE PROGRAM SERVICES (IF APPLICABLE)

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- ☐ a. Subcontract(s) (signed and dated) for the most current grant year
- ☐ b. Documentation of Competitive Selection Process
- ☐ c. Subcontractor's Liability Insurance
- ☐ d. Policies and Procedures for Subrecipient
- ☐ e. Subcontractor Compliance Monitoring

SECTION XVIII:

LICENSES AND ACCREDITATIONS

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- ☐ a. Specialized operational license(s) – Joint Commission (formerly JCAHO), CARF, FQHC
- ☐ b. Other licensures not identified

SECTION XIX:

INSURANCE COVERAGE – *THE FOLLOWING DOCUMENTS WILL BE OBTAINED FROM THE CONTRACTS OFFICERS. BE SURE TO COMPLETE AND SUBMIT ONTIME.*

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- ☐ a. Commercial General Liability Insurance in effect during the most current grant year
- ☐ b. Property Insurance in effect during the most current grant year
- ☐ c. Worker Compensation Insurance in effect during the most current grant year
- ☐ d. Commercial auto, automobile liability and non-owned automobile insurance, if applicable, in effect during the most current grant year
- ☐ e. Federal Torts Claims Act (FTCA) Deeming Notification Letter in effect during the most current grant year (submitted to Contracts Officer)
- ☐ f. Professional Liability Insurance in effect during the most current grant year

SECTION XX:

PROGRAM REPORTING REQUIREMENTS – *THE FOLLOWING DOCUMENTS WILL BE OBTAINED FROM THE CONTRACTS OFFICERS. TO BE SURE COMPLETE AND SUBMIT ONTIME.*

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- ☐ a. Annual Progress Report (most current completed grant fiscal year)



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- ☐ b. Final Line Item Expenditure Report (FLIER) (most current completed grant fiscal year) reconciliation
- ☐ c. RSR Report (most current completed *calendar* year)
- ☐ d. Most recent Corrective Action Plan

**SECTION XXI:**

**QUALITY IMPROVEMENT PROGRAM AND CLINICAL QUALITY MANAGEMENT PROGRAM**

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- ☐ a. Internal quality management policy and process
- ☐ b. Proof of Participation in RWP Clinical Quality Management Program
- ☐ c. Proof of Quality Improvement (QI) project(s) for the year