

8020 - Monitoring Worksheet

2016 - Ryan White

Due: _____
 Scheduled: _____
 Actual: _____

1. Section A: Limitation on Uses of Part A Funding		
1.0 Adherence to 10% limit on proportion of federal funds spent on administrative costs in any given grant year.		
1.1	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	<p>Does the provider have documentation that administrative expenses do not exceed 10% of the awarded grant?</p> <p>Notes:</p>
1.2	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	<p>Did the grantee utilize awarded funds only for allowable expenditures as allowable under HAB guidelines.</p> <p>Notes:</p>
1.3	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	<p>Does the provider have policies and procedures to prevent use of Ryan White funds for cash payments to service recipients?</p> <p>Notes:</p>
	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	Notes:
	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	Notes:

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1. Section A: Limitation on Uses of Part A Funding		
2.0 Sliding Fee Scale		
2.1	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	Does the provider have written sliding fee scale policies and procedures? Notes:
2.2	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	Does the provider's policies and procedures include a current fee schedule? Notes:
2.3	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	Sliding fee eligibility application? Notes:
2.4	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	Eligibility information to be maintained in client files? Notes:
2.5	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	Is there policy on the fees to be charged and paid by clients? Notes:
2.6	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	Does the policy disallow charging clients with incomes at or below 100% of federal poverty level? Notes:

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1. Section A: Limitation on Uses of Part A Funding		
2.0 Sliding Fee Scale		
2.7	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	Cap on charges policy and implementation procedures? Notes:
2.8	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	Annual evaluation of clients to establish individual fees and caps? Notes:
2.9	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	Process for alerting the billing system that a client has reached their annual cap and should not be charged for the remainder of the year? Notes:
2.10	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	Process for manually or electronically charging, obtaining, and documenting client charges? Notes:
2.11	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	Process for training staff on sliding fee policy? Notes:

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2. General Information		
2.0 Organizational Information		
2.1	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	<p>Does the provider maintain minutes for the Board of Directors' meetings?</p> <p>Notes:</p>
2.2	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	<p>Does the provider have a Ryan White specific organizational chart establishing clear lines of responsibility and authority?</p> <p>Notes:</p>
2.3	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	<p>Does the provider have grants or cost reimbursable contracts with other Public Health Service (PHS) agencies?</p> <p>Notes:</p>
2.4	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	<p>Does the provider have grants or cost reimbursable contracts with other federal agencies?</p> <p>Notes:</p>
2.5	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	<p>Has the provider been monitored by a funding agency within the last year?</p> <p>Notes:</p>
2A Insurance		
2A.1	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	<p>Has the provider obtained commercial general liability?</p> <p>Notes:</p>

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2. General Information		
2A Insurance		
2A.2	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	Has the provider obtained business automobile liability? Notes:
2A.3	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	Does the provider have proof of worker's compensation insurance? Notes:
2A.4	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	Does the provider have proof of employer's liability insurance? Notes:
2A.5	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	Does the provider have proof of professional liability (Errors and Omissions) insurance? Is Palm Beach County endorsed as an additional insured? Notes:
3. Accounting System		
3.0 Provider Accounting Policies and Procedures		
3.1	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	Does the provider have written accounting policies and procedures? Notes:

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3. Accounting System		
3.0 Provider Accounting Policies and Procedures		
3.2	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	<p>Does the provider's accounting system adequately identify receipts and disbursements for each grant contract, service category?</p> <p>Notes:</p>
3.3	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	<p>Which accounting system does the provider use?</p> <p>Notes:</p>
3.4	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	<p>Does the provider's accounting system provide for the recording of expenditures for each program by required budget cost categories?</p> <p>Notes:</p>
3.5	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	<p>Does the provider separate administration costs from its program costs in its general ledger?</p> <p>Notes:</p>
3.6	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	<p>What is the provider's fiscal year?</p> <p>Notes:</p>
3.7	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	<p>Did the provider send its annual financial audit report within 180 days after the end of its fiscal year?</p> <p>Notes:</p>

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3. Accounting System		
3.0 Provider Accounting Policies and Procedures		
3.8	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	Does the provider have a bookkeeper or an accountant? Notes:
4. Budgetary Controls		
4.0 Contract Expenditures		
4.1	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	Is the provider using the approved Ryan White budget for eligible expenditures? Notes:
4.2	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	Does the provider keep the supporting documentation for monthly expenditures in a file? Notes:
4.3	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	Does the provider track monthly expenditures? Notes:
4.4	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	Is the provider on target, over budget, or under budget? Notes:

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4. Budgetary Controls		
4.0 Contract Expenditures		
4.5	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	<p>Does the provider have budgetary controls in place to prevent over spending and prohibit expenditures for unallowable costs?</p> <p>Notes:</p>
4.6	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	<p>Does the provider document all budget revision requests and approvals?</p> <p>Notes:</p>
4.7	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	<p>Does the provider submit its monthly invoices to CSD for reimbursement in a timely manner?</p> <p>Notes:</p>
4.8	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	<p>Does the provider's fiscal officer review and reconcile the organization's records with the Ryan White monthly reimbursements?</p> <p>Notes:</p>
4.9	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	<p>Does the provider maintain a file for the request for reimbursement and monthly service reports?</p> <p>Notes:</p>

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5. Personnel		
5.0 Policies and Procedures		
5.1	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	Does the provider have written personnel policies and procedures? Notes:
5.2	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	Are the duties and responsibilities defined for each employee's position? Notes:
5.3	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	Are the qualifications defined for each position? Notes:
5.4	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	Are the salary ranges defined for each position? Notes:
5.5	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	Are equal employment opportunities defined according to federal law? Notes:
5.6	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	Do the policies and procedures include provisions for annual performance appraisals? Notes:

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5. Personnel		
5.0 Policies and Procedures		
5.7	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	<p>Are the types and levels of fringe benefits to be paid to employees, officers, and governing board members defined?</p> <p>Notes:</p>
5.8	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	<p>Does the provider conduct salary comparability surveys? If so, how often?</p> <p>Notes:</p>
5.9	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	<p>Is the provider's employee compensation reasonable and comparable to that paid similar work in the competitive labor market? How does the provider know?</p> <p>Notes:</p>
5.10	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	<p>Does the provider conduct background checks on final candidates for positions to avoid hiring convicted felons and/or persons under investigation by Medicare, Medicaid, or other federal/state supported programs?</p> <p>Notes:</p>
5.11	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	<p>Did the provider have any changes in key personnel within the last year?</p> <p>Notes:</p>
5.12	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	<p>If changes in key personnel. Was CSD notified as stipulated in the contract?</p> <p>Notes:</p>

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5. Personnel		
5.0 Policies and Procedures		
5.13	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	<p>Does the provider maintain daily attendance records for employees?</p> <p>Notes:</p>
5.14	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	<p>Do the time records show actual time and attendance?</p> <p>Notes:</p>
5.15	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	<p>Does the provider's payroll system account for the total effort (100%) for which the employee is compensated by the provider?</p> <p>Notes:</p>
5.16	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	<p>Does the provider sign and certify work performed in questions 5.13 and 5.5?</p> <p>Notes:</p>
5A Documents		
5A.1	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	<p>Where duties require employees to spend considerable time away from their offices, are reports prepared for their supervisors disclosing their outside activities such as travel reports, logs, etc?</p> <p>Notes:</p>

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5. Personnel		
5A Documents		
5A.2	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	<p>Providers must have policies and procedures that promote ethical business practices and standards of conduct among employees, board members, and the organization as a whole to prevent abuse and mismanagement of funding. Does the provider have documented evidence of a Corporate Compliance Plan?</p> <p>Notes:</p>
5A.2i	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	<p>Corporate By-laws?</p> <p>Notes:</p>
5A.2ii	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	<p>Board Code of Ethics?</p> <p>Notes:</p>
5A.2iii	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	<p>Employee Code of Ethics?</p> <p>Notes:</p>
5A.2iv	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	<p>Business Conduct Practices?</p> <p>Notes:</p>
5A.2v	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	<p>Procedures for documenting code of ethics violations, business conduct violations, and their resolution?</p> <p>Notes:</p>

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5. Personnel		
5A Documents		
5A.2vi	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	<p>Does the provider maintain a separate file for housing any violations, per the previous question?</p> <p>Notes:</p>
5A.3	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	<p>Does the provider have policies and procedures to prevent employees from soliciting cash or in-kind payments for awarding contracts, referring clients, purchasing goods or services, or submitting fraudulent billings?</p> <p>Notes:</p>
5A.4	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	<p>Does the provider have policies and procedures to prevent the hiring of convicted felons, persons under investigation by Medicare or Medicaid; and to prohibit large signing bonuses?</p> <p>Notes:</p>
5A.5	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	<p>Does the provider have written conflict of interest (COI) policies and procedures?</p> <p>Notes:</p>
5A.6	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	<p>Did the provider document that a copy of its COI policies and procedures was given to each officer, employee, board member who worked on the Ryan White program?</p> <p>Notes:</p>
5A.7	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	<p>Does the provider maintain a file of all travel expenses paid with Ryan White funds?</p> <p>Notes:</p>

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6. Payroll		
6.0 Payroll Procedures and Documents		
6.1	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	Does the provider have written payroll policies and procedures? Notes:
6.2	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	Who is responsible for the preparation of the payroll and what is the process? Notes:
6.3	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	Does the provider verify payroll at regular intervals against personnel records? Notes:
6.4	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	Does the provider verify against payment for vacation, sick leave, etc? Notes:
6.5	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	Does the provider approve the payroll by an authorized official prior to disbursement? Notes:
6.6	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	Does the provider use prenumbered checks to pay its employees? Notes:

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6. Payroll		
6.0 Payroll Procedures and Documents		
6.7	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	Does the provider use hand written checks? Notes:
6.8	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	Does the provider use direct deposit? Notes:
6.9	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	Does the provider require two signatures on its checks? Notes:
6.10	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	Describe the provider's check management process. Notes:
6.10A	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	How does the provider secure the checks? Notes:

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7. Property Management		
7.0 Property Management Procedures		
7.1	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	Does the provider have written property management policies and procedures? Notes:
7.2	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	Does the provider maintain records which provide a description of the items purchased, acquisition costs, and the location? Notes:
7.3	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	Does the provider periodically balance the property and equipment records to the general ledger? Notes:
7.4	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	Does the provider periodically check property and equipment records by physical inventory? Notes:
7.5	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	Perform a physical inventory of Ryan White purchased property. Is the provider's inventory properly accounted for? Notes:
7.6	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	Verify that the provider's purchases for equipment with Ryan White funds have been approved by fiscal staff. Does the provider have written authorization forms on file? Notes:

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7. Property Management		
7.0 Property Management Procedures		
7.7	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	<p>Is equipment properly secured?</p> <p>Notes:</p>
8. Purchases		
8.0 Purchase Control		
8.1	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	<p>Does the provider have written purchasing policies and procedures?</p> <p>Notes:</p>
8.2	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	<p>Does the provider's policies and procedures consider quality, cost, delivery, competition, and source selection?</p> <p>Notes:</p>
8.3	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	<p>Has the provider assigned responsibility for purchasing to one department, section, or individual within the organization? If not, explain.</p> <p>Notes:</p>
8.4	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	<p>Does the provider separate the purchasing function from accounting and receiving?</p> <p>Notes:</p>

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8. Purchases		
8.0 Purchase Control		
8.5	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	<p>Does the provider obtain at least 3 competitive bids for nonroutine items?</p> <p>Notes:</p>
8.6	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	<p>Does the provider support all accounting entries by appropriate documentation such as purchase orders, vouchers, and vendor payments?</p> <p>Notes:</p>
8.7	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	<p>Does the provider have an internal auditor or internal audit staff?</p> <p>Notes:</p>
9. Contractors		
9.0 Third Party Contractors and Consultants		
9.1	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	<p>Does the provider have written policies and procedures regarding the use of contractors and consultants?</p> <p>Notes:</p>
9.2	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	<p>Does the policy spell out circumstances under which contractors and/or consultants may be used?</p> <p>Notes:</p>

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9. Contractors		
9.0 Third Party Contractors and Consultants		
9.3	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	Requirement that contract bids be solicited from several entities to enable rate, cost, and quality comparisons? Notes:
9.4	<input type="checkbox"/> Not Applicable <input type="checkbox"/> Non-Compliant <input type="checkbox"/> Compliant <input type="checkbox"/> Not Observed	Does the provider have a requirement that contractors and consultants sign agreements outlining the services to be rendered, duration of engagement, and reporting requirements? Notes: