

# **DOCUMENT REQUEST LIST \***

## **NEEDS ASSESSMENT**

- Marketplace Analysis / Needs Assessment

## **GOVERNANCE:**

- Corporate Bylaws
- Board Minutes most recent 12 months (Year to Date)
- Governance Policies and Procedures
- Strategic Plan
- Board Financial Reports
- Board Committees & Meeting Schedule
- Board Recruitment Plan
- Conflict of Interest Policy
- Current Board Roster (Form 6)

## **HEALTH CENTER MANAGEMENT:**

- Organization Chart with names and positions
- List of employees, position, FTE allocation, and DOH
- Job Descriptions Book
- Management Meetings Minutes for 12 months
- Significant Contracts, MOAs, MOUs, Collaborative Agreements
- Safety / Risk Management Committee Minutes
- Staff Recruitment & Retention Plan
- Personnel Manual
- Personnel Files
- Staff Evaluation Instrument
- Provider Contracts
- Staff Orientation
- Employee Satisfaction Surveys
- Payment Agreement form
- Contracts for core staff, CEO, CMO, and CFO
- MOA/MOU
- Key management job descriptions
- Performance Evaluations for key managers
- Corporate Compliance Policies/Procedures
- Corporate Compliance Plan

## **FINANCIAL MANAGEMENT:**

### A. Fees & Billing

- Current Fee (Charge) Schedule
- Patient Registration and Encounter Forms
- Current Accounts Receivable Aged Trial Balance by Payer Source
- Medicare/Medicaid Provider Numbers documentation/agreements
- Third Party Patient Eligibility Screen Protocol
- Billing, Accounts Receivable and Collection Policies
- CPT / ICD 9 CM Coding Protocols
- Provider Coding Distribution Report for E & M Services
- Most recent month end closing Revenue Summary Report

### B. Sliding Fee Scale Discount (SFSD) Program:

- Sliding Fee Scale Discount and Charity Care Policies and Procedures
- Sliding Fee Scale Discount Application/Eligibility Form
- SF Self-Declaration Form
- Referral Contracts/Arrangements for Lab, Pharmacy, Dental, Mental Health, Specialty Care, Hospital Services, etc. with any SFSD agreements
- Sliding Fee Criteria

### C. Financial Management:

- Monthly and most current YTD Budget Variance Report
- Financial Audit Reports including any Management Letters
- Chart of Accounts
- Current Aged Accounts Payable
- Payroll Check Register
- IRS-990 Report
- FQHC Cost-based/PPS Reimbursement Rates for Medicare and Medicaid
- Financial Management Policies and Procedures
- Board Financial Reports
- Bank Statements for past 6 months with Reconciliations
- Check Register for the last 6 months including identification of outstanding checks

## **MANAGEMENT INFORMATION SYSTEMS (MIS):**

- Practice Management System (PMS) Description
- PMS Vendor Contract
- PMS Reporting
- MIS Policies and Procedures.
- Uniform Data System (UDS) Report or Plans for UDS for most recent three years
- General Ledger Accounting System Description and User Manual
- Accounting System Reports

## **CLINICAL PROGRAM:**

- Quality Assurance / Quality Improvement Plan
- QI Meeting Minutes (last 6 months)
- Drug Formulary, Prescription Assistance Program Policies and Procedures
- Provider Meeting Minutes (6 months)
- Provider Productivity Reports
- Provider Referral Agreements including hospitals
- Clinical Policy and Protocols
- Patient Appointment Schedule Templates
- Safety or Risk Management Committee Meeting Minutes (6 months)
- Chief Medical Officer Job Description
- In-service Training Records
- Provider Contracts or Compensation Agreements
- Clinical Audit Report – clinical performance measures
- Medical Records Access for Random sample review
- CLIA License
- Risk Management Plan.
- Deeming Application for FTCA Coverage
- Credentialing and Privileging Provider Files
- Practitioner Employment Agreements or Contracts for Contracted Staff
- Personnel & Credential files.
- Credentialing and privileging Policy and Procedure
- Form 5 – Part A, B, and C
- Peer review policy and procedure, audit tools and six months of peer review audits
- Clinical tracking systems policies and procedures (Hospital tracking, Referral tracking, No-Shows, Lab Tracking Policy and Procedures, X-ray Tracking Policy and Procedures)
- OSHA Blood Borne Pathogens
- Accreditation documents (e.g. JCAHO, AAAHC, NCQA, HEDIS, etc.)
- Patient educational materials
- Copy of informed consent and medical release of information
- Patient Appointment Schedule Template
- Consumer bill of rights
- UDS Trend Analysis most recent 3 years for Clinical Measures

*\*Document Request List is a Sample List, not an official list, and represents what might be requested of you prior to, or at your On Site Visit.*