



E001336

REGIONAL ADVISORY GROUP AND COMMITTEES

1. Evaluate membership of Regional Advisory Group (RAG). Is the membership representative from a geographical standpoint? Is it representative of professional and consumer interests?
2. Is the RAG constituted in accordance with the law and DRMP guidelines? Are members knowledgeable of RMP activities? If possible, interview representatives of RAG. Have By Laws or a Constitution been adopted?
3. Has the role of the RAG been identified?
4. Does the RAG function as a Board of Trustees (policy-making) or as only an advisory group?
5. Is there any evidence that the RAG has exceeded the policy-making function assigned to it?
6. How are policies promulgated by the RAG disseminated and compliance assured?
7. Review copies of RAG and Committee minutes to ascertain if follow-up action is taken when indicated.
8. Is there a scheduled rotation of members on the RAG and committees?
9. What Committees are there and how frequently do they meet? Review the minutes to ascertain the activities of the Committees and for further leads.
10. Are written charges given to Committees? Do they clearly define the responsibility of the Committee to define problem areas, and to develop plans and project proposals?
11. On what basis were the Committees established? How have they evolved? What changes have been made in them to reflect changes at regional and national levels? What is the relative degree of action and inaction of the Committees?
12. What are the mechanics of committee activity? Who appoints them and what is the rationale for selection? Are there committee reports? What use is made of them?
13. Has the region made decisions as to who or what groups are to be represented on committees? What assurance is there that committees are representative (dependent upon their particular purposes)?
14. What is the core staff input in terms of staffing committees and providing information to committees on new developments, policies, etc.?
15. Are committees informed of each other's relevant activities? What happens to minutes of committees?

16. How does core staff reduce duplication of effort between various committees, i.e., between regional level committees and area or sub-regional level committees in such areas as data collection and analysis, project review, and coordination with other agencies and organizations -- and avoid duplication between RMP committees and committees of CHP or other agencies and organizations?

17. What is the role of the committee(s) in the areas of:

- (a) planning and program development
- (b) rebudgeting
- (c) evaluation of program development and projects
- (d) establishing priorities and goals

CORE STAFF AND CENTRAL ADMINISTRATION

A. ORGANIZATION

1. What type of institution is the grantee?
2. Develop a brief history of the program.
3. What is the size of the Region? Is it sub-divided? If so, evaluate this in terms of numbers, duplication of administrative efforts, cost, liaison with the central office, and advantages or disadvantages of such a division.
4. Review the position descriptions to determine if they are current and accurate. Does each employee have a copy? Are they required by grantee?
5. Evaluate the degree to which employees understand the relationship of their work to related elements of the RMP.
6. Obtain a copy of the RMP organizational chart and functional statements. Does the actual organization conform to these documents?
7. Number of full-time appointment ? Number of part-time appointments? Do part-time appointees carry their respective share of program responsibilities?
8. Is there evidence of over-organization and excessive layering of supervision?
9. Is the RMP organized and staffed to meet stated goals and objectives?
10. Is the staffing pattern consistent with DRMP submissions?
11. Are there budgeted positions for core staff or projects which have remained unfilled for long periods? Review the recruitment efforts for these to determine if there has been a concerted effort to fill them. What was done with the money?
12. Evaluate the relationship existing between Core Staff and grantee. Is the Core Staff an active partner? Can it act independently and with authority?
13. Are personnel policies of the Grantee clearly stated? Does the RMP understand and adhere to these policies?
14. Does the RMP have written personnel policies covering the following:
 - (a) Vacation, sick time, leave of absence, working hours, fringe benefits, etc.
 - (b) Relocation allowances.
 - (c) Wage and Salary Administration
15. How are salaries determined?
16. How are salary increases determined and administered?

17. What assurance is there that affiliates have current written personnel policies and that these policies are consistently followed?

18. What is the policy regarding acceptance of consultation fees by:

- (a) staff
- (b) affiliates
- (c) faculty
- (d) all others

B. DIRECTION OF THE PROGRAM

1. Are delegations of authority written or made orally? There should be a minimum of oral delegation.
2. In discussion with personnel, determine how well they understand what authority they have.
3. Have recommendations made by GAO, HEW, and site visit teams been implemented or received proper consideration?
4. Does the Core Staff conduct site visits to operational projects to review progress?
5. How is the coordinator kept apprised of problem areas or significant accomplishments?
6. Are leave records and time cards adequately maintained?
7. Are there policy and procedure manuals or a system of references to readily locate pertinent policies?
8. What mechanisms have been set up to assure good records control, including answering mail and phone requests?

C. COMMUNICATION

1. What public information program is there to acquaint the public, medical community and other health organizations with the RMP? What success or resistance has it met? How has it attempted to overcome resistance?
2. What channels of communication are open between the RMP and consumer groups?
3. Review the reports required by the Region or RAG. Evaluate the accuracy and necessity.
4. Is there a system of regular and special reports:
 - (a) to and from committees?
 - (b) to and from projects and affiliated institutions?
 - (c) in connection with contracts?
 - (d) to and from DRMP?
5. Evaluate internal communication within the RMP.

D. RESEARCH AND EVALUATION

1. Does the communication and information system include data collection?
If so:
 - (a) How is it collected and analyzed?
 - (b) Is it coordinated with other agencies and organizations?
 - (c) Is it kept current?
 - (d) Is resulting information disseminated to other groups?
2. Have existing sources of data been categorized as to purpose, source, quality, availability, etc.?
3. How does the Region update its inventory of resources and capabilities? The inventory should provide a basis for setting priorities and to identify missing resources.
4. How does RMP encourage groups to develop a project to accomplish a need?
5. Has region drafted written procedures or guidelines to assist proposers in the development of projects? Can staff provide writing or editorial help?
6. Do these procedures include mechanism for informing potential sponsors of changing priorities, regional and national?
7. Does staff participation in early stages of project development help guard against weaknesses in budgets?
8. Are there established methods for estimating and substantiating projected costs?
9. How are priorities of the Regions' objectives set?
10. Evaluate the review process. Is there a procedure for control of time sequences in the review process?
11. What written guidelines are available to assist reviewers in reviewing proposals?
12. Have channels been created to supply feed back from critical review -- wherever it is done -- to project sponsors?
13. What methods are used to evaluate effectiveness of approved projects? Who does it?

E. FINANCIAL MANAGEMENT

1. How does the Region maintain control of project funds? The RMP should be able to identify excess funds as soon as they occur.
2. Are there written policies regarding the disbursement of core funds?
3. What is the procedure for the disbursement of funds from the grantee to the affiliate institution. Does a member of the Core Staff other than the fiscal agent authorize disbursements?
4. Is a member of the Core Staff responsible as to the allowability of a proposed expenditure?
5. Is money forwarded to the affiliate before or after expenditures are made on RMP projects?
6. What type of fiscal expenditure reports are required from the affiliate institution? How often are these required?
7. How are the fiscal records maintained by the RMP reconciled with those of the grantee and project director? How often?
8. Does a member of the Core Staff review the accounting records of those receiving grant funds? If not, how does the RMP assure that proper and adequate records are maintained?
9. Does the RMP require periodic audit of the affiliate's financial records regarding RMP funds?
10. Who audits the Core financial records?
11. What means does the RMP have to determine the amount of funding available to project from other sources? Does the RMP phase these out as funding from other sources becomes available?
12. Review budget forecasts of selected projects and compare with actual operating costs. What accounted for substantial variations?
13. Is income generated from RMP activity accounted for separately and returned to the government? Possible sources of income are from use of equipment, patient care, sale of publications.
14. Review the policies concerning consultant services. They should require (1) a statement of service to be performed and that it cannot be performed by payment of direct salaries to staff members of the grantee or an affiliated institution; (2) a description of the process of selection of individuals most qualified; and, (3) evidence that the fee is appropriate. Is there a written agreement with the consultant showing fee, type of service, performance dates?
15. Has the grantee institution established indirect cost rates with its affiliated institutions? (NID Special Issue; January 16, 1969)

16. Is the grantee or RMP in a position to aid in the development of indirect cost rates for affiliate institutions?
17. What is required of an affiliate in establishing an indirect cost rate?
18. Does the RMP have an established indirect cost rate with the government for the Core Staff?
19. If so, was it developed by RMP personnel or by an outside accounting agency?
20. What assurance is there that there is no co-mingling of federal and non-federal funds?
21. How is the receipt of goods or services documented to support payment for it?
22. Is there a separation of responsibility for the authorization for purchasing and the subsequent payment?
23. Review the timekeeping and payroll procedure. There should be a separation of the various functions.
24. Who on the Core Staff authorizes the expenditures for travel? Is there a limit set on the expenditure of funds without prior approval of RAG or the board of directors?
25. Is there a fiscal management manual prepared by the RMP and given to affiliates?

F. PURCHASING, CONTRACTING, & EQUIPMENT

1. Is there a written purchasing policy? Does it call for competitive bidding? Under what circumstances is competitive bidding employed, or not employed? There should be documentation showing the bid prices and the reason for making the award.
2. If the affiliates have no policy, what assurance is there that federal funds are being used for the greatest dollar value?
3. How does the grantee know the affiliate's purchasing policies are consistently employed?
4. How are decisions made regarding the selection of the brand of technical scientific equipment?
5. Since funds approved for equipment might be lost if not obligated prior to the end of the fiscal year, is there a requirement that it be purchased early in the funding period?
6. What controls are established for the accountability of equipment by the RMP and the affiliates?
7. Does the grantee have equipment inventory records? Is all equipment labeled and periodically inventoried?
8. Does the affiliate understand that the grantee has title and accountability for all equipment purchased with RMP funds?
9. What provision has been made for maintenance of equipment?
10. How is it proposed to dispose of obsolete, non-functioning equipment? Is there a clear understanding between the grantee and the affiliate concerning the final disposition of equipment at the close of a project?
11. Review contracts which have been made by the RMP. How was it determined to accomplish the task by contract rather than with staff? In what manner does the staff supervise the contract? What reports are required from the contractors?
12. Does work done by a contractor include an evaluation of his performance?

G. LEGAL RESPONSIBILITY

1. Is there a written document between the grantee and all affiliates regarding overall legal responsibilities for the operation of RMP projects?
2. Does the Affiliation of Agreement contain a clause which holds the affiliate responsible in the event of an audit disallowance?
3. Is the RMP named in malpractice and liability insurance coverage of the affiliate institutions?
4. Do the Articles of Incorporation governing the operation of the RMP and the Affiliation Agreement have the approbation of an attorney?
5. What personal liability coverage is available to protect employees and volunteers injured while engaged in RMP activities?
6. Does the RMP have the on-going services of an attorney?