

Provider Qualification Pilot Program Supporting Documents

Non-Financial Documentation

Documents	Agencies Providing Licensed and/or Unlicensed Services	Individual Professionals Providing Licensed Services
Training Plan	√	
Quality Management Plan	√	√
Grievance Policy	√	√
Consumer Rights Policy	√	√
Confidentiality and Privacy Policy	√	
Incident Management Policy	√	
Restrictive Procedures Policy	√	

Financial Documentation

Documents	Providers With An Independent Audit	Providers Without An Independent Audit	New Providers in First Operating Year	Individual Professionals
Independent Auditor's Report	√			
Statement of Financial Position/Balance Sheet	√	√		
Statement of Activities/Income Statement (Income and Expense Sheet)	√	√ (Related to OMR Waiver services)		
Statement of Functional Expenses	√ (Non-profit only)	√ (Non-profit only)		
Statement of Cash Flows	√			
Notes to Financial Statements	√			
Schedule of Expenditures of Federal Awards	√ (Single Audit Act /A-133 only)			
Notes to Schedule of Expenditures of Federal Awards	√ (Single Audit Act/A-133 only)			
Report on Internal Control Over Financial Reporting and on Compliance and Other Matters Based on an Audit of Financial Statements Performed in Accordance with <i>Government Auditing Standards</i>	√ (Single Audit Act/A-133 and GAGAS)			
Report on Compliance with Requirements Applicable to Each Major Program and Internal Control Over Compliance in Accordance with OMB Circular A-133	√ (Single Audit Act/A-133 only)			
Schedule of Findings and Questioned Costs	√			
Summary Schedule of Prior Years' Findings	√			
Schedule of Detailed Grant Information	√	√ (Non-audited)		
Business Plan			√	
Budget			√	
Schedule C (1040)				√

√ = required

Please send completed documents via regular mail or e-mail to:

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