2-1-1 OC HMIS Agency Audit/Database Certification Checklist

Agency Name:	
Project Name(s):	

Requirements	Description	Response	Assessment	Action Needed
Data Collection	Does agency have a data collection form that captures universal and program specific data elements? UDE – 2014 data standards page 16 PDE – 2014 data standards page 35	Yes	Yes/No Uses LA/OC HMIS Intake form Yes/No Uses Assessment form (Annual) for TH and PH Yes/No Uses Exit form Yes/No Is capturing Universal Data Elements on all clients Yes/No Is capturing Program Data Elements as required Yes/No Monitors data quality Yes/No Enters data into another system/spreadsheet	
		No	No updated data collection protocol.	

Requirements	Description	Response	Assessment	Action Needed
Privacy: Privacy Notice	Does agency have HMIS Privacy Notice posted at every place where intake occurs (dated 10/2015)?	Yes	_____ # of intake locations _____# of posted Notices Reasonable accommodations. Does agency need Notice in: Yes/No Copy of notice is available upon request	
		No	No posted sign at intake desk	

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Requirements	Description	Response	Assessment	Action Needed
Privacy: Note Regarding Collection of Personal Information	Does agency have Note Regarding Collection of Personal Information posted at every place where intake occurs (dated 10/2015)?	Yes	_____ # of intake locations _____# of posted Notices Reasonable accommodations. Does agency need Notice in: Yes/No Copy of notice is available upon request	
		No	No posted sign at intake desk	
Privacy: Privacy Policy	Does agency have notices posted on website? (2004 Data Standards, 4.2.4 Openness, p45930)	Yes	Policy (Notice) Version Date: Click here to enter a date.	
		No	Notice(s) is not available	
Client Consent	Are the Client Consent/Information Release form signed by client? Are forms the most current (dated 10/2015)? Spot check client files.	Yes	Spot checked client records have signed consent	
		No	Spot checked client records do not have signed consent	
Requirements	**Description**	**Response**	**Assessment**	**Action Needed**
Client Revocation	Does agency have Client Revocation form readily available (dated 10/2015)?	Yes	Client forms are readily available	
		No	Form not readily available	
Grievance	Does agency have a grievance policy (dated 10/2015)?	Yes	Yes/No Agency form/policy available to give to clients Yes/No HMIS form/policy available to give to clients	
		No	Agency does not have own grievance form/policy or HMIS form/policy	

Updated on March 10, 2016

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Requirements	Description	Response	Assessment	Action Needed
Client Rights Brochure	Does agency have brochure visible and readily available?	Yes	Yes/No Brochure is available to give to clients Yes/No Brochure is visible to clients	
		No	Brochure is not visible or readily available	
HMIS Agency	Does agency have a signed HMIS Agency Agreement? (annual update)	Yes	Yes/No Agency Agreement is on file Yes/No Agency Agreement is current in this Calendar Year	
		No	Agency Agreement not on file or signed	
HMIS Agency Administrator **validate HMIS agency administrator and backup	Does agency have an assigned Agency Administrator or back-up Agency Administrator? Have both passed the Agency Administrator training? Do they have the necessary material to train end users?	Yes	Yes/No Agency has an assigned administrator and backup administrator Yes/No Agency Administrator and backup Agency Administrator receives notifications Yes/No Either AA or backup AA received AA training Yes/No AA passed the AA training Yes/No Back-up AA passed the AA training Yes/No Received needed training material to train end users	
		No	Agency has not assigned an agency administrator or backup agency administrator	
HMIS Users **run report to validate HMIS active users	Does agency have updated HMIS user accounts?	Yes	Yes/No All HMIS users have an active account Yes/No Inactive HMIS users have account locked Yes/No All users have signed the HMIS User Agreement form	
		No	Active accounts are not locked	

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Requirements	Description	Response	Assessment	Action Needed
User Authentication	Does the agency abide by the HMIS policies for unique usernames and password? HMIS Policies and Procedures 3 SECURITY POLICIES AND PROCEDURES Section 3.2 Password, pages 19-20	Yes	Yes/No Agency abides by HMIS Policies and Procedures Yes/No NEVER share username and passwords Yes/No NEVER keep usernames/passwords in public locations Yes/No NEVER user their internet browser to store passwords	
		No	Agency does not abide by HMIS user authentication policy	

Hard Copy Data	Does agency have procedures in place to protect hard copy Personal Protected Information (PPI) generated from or for the HMIS?	Yes	Agency has procedures for hard copy of PPI that includes:
			
			(1) Security of hard copy files
			  Yes/No Locked drawer/file cabinet
			  Yes/No Locked office
			(2) Procedure for client data generated from the HMIS
			  Yes/No Printed screen shots
			  Yes/No HMIS client reports
			  Yes/No Client data across a public network is encrypted	

		No	Agency does not have a procedure to protect hard or data copy PPI	
PPI Storage	Does agency dispose of PPI or remove identifiers from a client record after a specified period of time? (minimum standard: 7 years after PPI was last changed if record is not in current use)	Yes	Yes/No Agency has a procedure Yes/No Agency uses shredder	
		No	Agency does not have procedure to dispose of or remove identifiers or PPI	
Comparable Database (DV)	Does DV or legal service provider establish and operate a comparable database that complies with 24 CFR 580.25?	Yes	Comparable Database in compliance	
		No	Comparable database is not in compliance	

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Requirements	Description	Response	Assessment	Action Needed
Virus Protection	Do all computers have virus protection with automatic update? (This includes non-HMIS computers if they are networked with HMIS computers) (Please fill out spreadsheet)	Yes	Yes/No Spot checks several computers Virus software and version_____ Yes/No Auto-update turned on Date last updated: _____/_____/_____	
		No	No virus protection installed	
Firewall	Does agency have a firewall on the network and/or workstation(s) to protect the HMIS systems from outside intrusion?	Yes	Yes/No Individual workstation Version: _____ Networked (multiple computer) agencies: Yes/No Network firewall Version: _____	
		No	Individual workstation or network firewall not active	
Physical Access	Area all HMIS workstations in secure locations or are they manned if they are in publicly accessible locations? (This includes non-HMIS computers if they are networked with HMIS computers	Yes	All workstations are: ___ Y ___ N In secure locations or manned at all times ___ Y ___ N Using password protected screensavers	
		No	Not all workstations have current software security	

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Requirements	Description	Response	Assessment	Action Needed
Data Disposal	Does the agency have policies and procedures to dispose of hard copy PPI or electronic media?	Yes	Yes/No Agency shreds all hardcopy PPI before disposal Before disposal, the agency reformats/degausses (demagnetizes): Yes/No Computer hard drives Yes/No Other media (CD, tapes, jump drives, etc)	
		No	The agency does not have policies and procedures for data disposal	
Software Security	Do all HMIS workstations have current operating system and internet browser security?	Yes	Operating System (OS) Version: _____ Yes/No All OS updated are installed Yes/No Most recent version of internet browser(s) are installed	
		No	Not all workstations have current software	
Data Quality	Does agency run reports to validate their data quality? How often do they validate their data quality?	Yes	Yes/No Universal Data Elements (UDE) Yes/No Program Data Elements Entry (PDE) Yes/No Program Data Elements Exit (PDE) Yes/No Bed Utilization (for housing project only) Yes/No Client service Aging Report (for SSO only) Yes/No Validates data quality on a monthly basis Yes/No Review Data Integrity Report (DIR) Top 5 Errors	
		No	Agency does not validate data	

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Requirements	Description	Response	Assessment	Action Needed
Reports	Are you looking at the reports posted on ochmis.org? Are they being used in any decision-making? Do you understand the reports?	Yes	Yes/No SWAP Tool Yes/No Report Card	
		No	Not familiar or do not understand the reports.	
Reports for DV	Does DV agency have the ability to generate reports? How does DV agency validate their data quality?	Yes	Yes/No Able to generate System Performance Reports • System Performance Measures Introductory Guide • HMIS System Performance Report Program Specification Yes/No Able to generate ESG CAPER report • ESG CAPER Reporting and eCart Guide • eCART (ESG-CAPER Annual Reporting Tool) Yes/No APR Generation Tool Version 4.0 • HMIS Program Specification for APRs and ESG CAPER Yes/No SWAP Export • https://docs.google.com/spreadsheets/d/1oJQ5uhSh8w0ZAAj4N2xT5Rjrgx7a2MCLvpMCzl5hxNM/pubhtml Yes/No Data Quality Export • https://docs.google.com/spreadsheets/d/1yD1w87BgJtBks_xb0VB7nXffkzWsKfAzpfY4m84URz0/pubhtml	
		No	Agency does not validate their data	

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Requirements	Description	Response	Assessment	Action Needed
Training	Does 211OC have signed Acknowledgement and HMIS User Agreement Forms for all active HMIS Users?	Yes	Yes/No AA sent Acknowledgement form to 211OC Helpdesk? Yes/No AA sent HMIS User Agreement to 211OC Helpdesk?	
		No	AA is not familiar with submitting signed Acknowledgement form and HMIS User Agreeement	

	Description	Response	Assessment	Action Needed
ochmis.org	Do end users visit the website?	Yes	Yes/No Users visit website to see updates Yes/No users visit website to register for training	
		No	End user is not familiar with website	
Other	Do Agency Administrators/Users get notification?	Yes	Yes/No AA/Users are on HMIS listserv Yes/No AA/Users are on CoC listserv	
		No	Users are not receiving notification	
Notes				

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PC	PC Used By (Staff Name)	9. Virus Protection on PC? (Y/N)	10. Virus DAT files up-to-date? (Y/N)	11. Username & password to log onto Windows?	12. Locking screensaver (password required)?	Windows Version	PC Brand	PC Processor	HMIS Speed Test Results
1									↓ ↑
2									↓ ↑
3									↓ ↑
4									↓ ↑
5									↓ ↑
6									↓ ↑
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