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| **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 16PDE – 2014 data standards page 35 | Yes | \_\_\_ Y \_\_\_ N Uses LA/OC HMIS Intake form\_\_\_ Y \_\_\_ N Uses Assessment form (Annual) for TH and PH \_\_\_ Y \_\_\_ N Uses Exit form\_\_\_ Y \_\_\_ N Is capturing Universal Data Elements on all clients\_\_\_ Y \_\_\_ N Is capturing Program Data Elements as required\_\_\_ Y \_\_\_ N Monitors data quality\_\_\_ Y \_\_\_ N Enters data into another system/spreadsheet |  |
| No | No updated data collection protocol. |  |
| **Privacy: Privacy Notice** | Is there a Privacy Notice posted at each intake desk?  | Yes | \_\_\_\_\_\_\_\_\_\_\_ # of intake locations \_\_\_\_\_\_\_# of posted NoticesReasonable accommodations. Does agency need Notice in:\_\_\_ Y \_\_\_ N Copy of notice is available upon request |  |
| No | No posted sign at intake desk |  |
| **Privacy: Mandatory Collection Notice** | Does agency have HMIS Mandatory Collection Notice posted at every place where intake occurs | Yes | \_\_\_\_\_\_\_\_\_\_\_ # of intake locations \_\_\_\_\_\_\_# of posted NoticesReasonable accommodations. Does agency need Notice in:\_\_\_ Y \_\_\_ N 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: \_\_\_\_\_\_/\_\_\_\_\_\_\_\_/\_\_\_\_\_\_\_\_ |  |
| No | Notice(s) is not available |  |
| **Client Consent** | Are the Client Consent/Information Release form signed by client? Are forms the most current (dated 11/16/2012)? Spot check client files.  | Yes | Spot checked client records have signed consent |  |
| No | Spot checked client records do not have signed consent |  |
| **Client Revocation** | Does agency have Client Revocation of Consent to Release Information form readily available? | Yes | Client forms are readily available |  |
| No | Form not readily available |  |
| **Grievance**  | Does agency have a grievance form/policy? | Yes | \_\_\_ Y \_\_\_ N Agency form/policy available to give to clients\_\_\_ Y \_\_\_ N HMIS form/policy available to give to clients |  |
| No | Agency does not have own grievance form/policy or HMIS form/policy |  |
| **Requirements** | **Description** | **Response** | **Assessment** | **Action Needed** |
| **Client Rights Brochure** | Does agency have brochure visible and readily available | Yes | \_\_\_ Y \_\_\_ N Brochure is available to give to clients\_\_\_ Y \_\_\_ N Brochure is visible to clients |  |
| No |  Brochure is not visible or readily available |  |
| **HMIS Agency** | Does agency have a signed HMIS Agency Agreement? | Yes | \_\_\_Y \_\_\_\_N Agency Agreement is on file\_\_\_Y \_\_\_\_N Agency Agreement is current |  |
| No | Agency Agreement not on file or signed |  |
| **HMIS Agency Administrator** | Does agency have an Agency Administrator? | Yes | \_\_\_Y \_\_\_\_N Agency has an assigned administrator and backup\_\_\_Y \_\_\_\_N Agency Administrator receives notifications  |  |
| No | Agency has not assigned an agency administrator or backup agency administrator |  |
| **HMIS Users** | Are all active user IDs for people still employed at agency? | Yes | \_\_\_ Y \_\_\_ N All HMIS users have an active account\_\_\_ Y \_\_\_ N Inactive HMIS users have account locked\_\_\_ Y \_\_\_ N All users have signed the HMIS User Agreement form |  |
| No | Active accounts are not locked |  |
| **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 | \_\_\_ Y \_\_\_ N Agency abides by HMIS Policies and Procedures\_\_\_ Y \_\_\_ N NEVER share username and passwords\_\_\_ Y \_\_\_ N NEVER keep usernames/passwords in public locations\_\_\_ Y \_\_\_ N NEVER user their internet browser to store passwords |  |
| No | Agency does not abide by HMIS user authentication policy |  |

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| **Requirements** | **Description** | **Response** | **Assessment** | **Action Needed** |
| **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

\_\_\_ Y \_\_\_ N Locked drawer/file cabinet\_\_\_ Y \_\_\_ N Locked office1. Procedure for client data generated from the HMIS

\_\_\_ Y \_\_\_ N Printed screen shots\_\_\_ Y \_\_\_ N HMIS client reports\_\_\_ Y \_\_\_ N 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 | \_\_\_ Y \_\_\_ N Agency has a procedure\_\_\_ Y \_\_\_ N 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 |  |
| **Virus Protection** | Does each computer accessing HMIS has virus protection and up to date DAT files  | Yes | \_\_\_\_\_\_\_\_# of HMS users\_\_\_ Y \_\_\_ N Spot checks several computersBrand of virus software and version\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Y \_\_\_ N Auto-update turned onDate last updated: \_\_\_\_\_\_/\_\_\_\_\_\_\_\_/\_\_\_\_\_\_\_ |  |
| No | No virus protection installed |  |

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| **Requirements** | **Description** | **Response** | **Assessment** | **Action Needed** |
| **Firewall** | Does agency have a firewall on the network and/or workstation(s) to protect the HMIS systems from outside intrusion? | Yes | \_\_\_ Y \_\_\_ N Individual workstationVersion: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_Networked (multiple computer) agencies:\_\_\_ Y \_\_\_ N Network firewallVersion: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |  |
| No | Individual workstation or network firewall not active |  |
| **Physical Access** | Workstation(s) accessing the LA/OC HMIS must have locking, password-protected screen saver | 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 |  |
| **Data Disposal** | Does the agency have policies and procedures to dispose of hard copy PPI or electronic media? | Yes | \_\_\_ Y \_\_\_ N Agency shreds all hardcopy PPI before disposalBefore disposal, the agency reformats/degausses (demagnetizes):\_\_\_ Y \_\_\_ N CDs\_\_\_ Y \_\_\_ N Computer hard drives\_\_\_ Y \_\_\_ N USBs |  |
| No | The agency does not have policies and procedures for data disposal |  |
| **Software Security** | Do all HMIS computers have current operating system and internet browser security? | Yes | Operating System (OS) Version: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Y \_\_\_ N All OS updated are installed\_\_\_ Y \_\_\_ N Most recent version of internet browser(s) are installed |  |
| No | Not all workstations have current software |  |

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| **Requirements** | **Description** | **Response** | **Assessment** | **Action Needed** |
| **Data Quality** | Does agency submit monthly data certification? Are they familiar with monthly bundle reports? | Yes | \_\_\_ Y \_\_\_ N Universal Data Elements (UDE)\_\_\_ Y \_\_\_ N Program Data Elements Entry (PDE)\_\_\_ Y \_\_\_ N Program Data Elements Exit (PDE)\_\_\_ Y \_\_\_ N Bed Utilization\_\_\_ Y \_\_\_ N Client service Aging Report (for SSO only)\_\_\_ Y \_\_\_ N Data Certification \_\_\_ Y \_\_\_ N Data Quality Long List\_\_\_ Y \_\_\_ N Data Quality Short List\_\_\_ Y \_\_\_ N Definition of Category 1 – Homeless |  |
| No | Agency not familiar with monthly bundle report |  |

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|  | **Description** | **Response** | **Assessment** | **Action Needed** |
| **ochmis.org** | Do end users visit the website? | Yes | \_\_\_ Y \_\_\_ N Users visit website to see updates\_\_\_ Y \_\_\_ N users visit website to register for training |  |
| No | End user is not familiar with website |  |
| **Other** | Do end users get notification? | Yes | \_\_\_ Y \_\_\_ N Users are on HMIS listserv\_\_\_ Y \_\_\_ N Users are on CoC listserv |  |
| No | Users are not receiving notification |  |
| **Questions** | Are end users familiar with all training offered? | Yes | \_\_\_ Y \_\_\_ N Registers for training |  |
| No | Not familiar with training offered |  |
| **Notes** |  |