



**211OC HMIS Agency Audit**

**Conducted By:** \_\_\_\_\_

<b>Agency:</b>	<b>Date of Audit:</b>
<b>Names of Attendees:</b>	<b>Time Spent:</b>

***NOTE: Items required to pass the 2017 audit are highlighted in grey. To receive a “Passed Audit on First Time” designation, all required items must be complete and correct at the time of the initial audit. Items that are not highlighted are not required to pass the audit.***

**Agency Administrator:**

Question	Pass/Fail	Policy	Notes
Does the agency have at least one Agency Administrator that has passed the AA test?		1.3	
Is at least one Agency Administrator present for the audit?			
Does agency have an Agency Administrator back up who has passed the AA test?		1.3	
Does agency have at least one Agency Administrator with Mark For Delete access?			
How does Agency Administrator retrieve training materials?			
Have conversation about training materials: do AA's have feedback, do they feel that other training materials not currently available would be useful?			



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Does Agency Administrator receive notifications from MailChimp lists?			
How do Agency Administrators communicate information/announcements from 211OC to other HMIS Users at agency? Specify in notes		1.4	
Did agency return completed Agency Agreement for current year?		2.1	

**Client Rights**

Question	Pass/Fail	Policy	Notes
Is the Client Consent/Information Release form signed by each client whose record is set to "System" in HMIS? Are forms the most current (dated 10/2015)?		4.4	
Does agency have Client Revocation form available upon client request (dated 10/2015)?		4.5	
Does agency have their own grievance policy to deal with all client grievances related to OC HMIS issues?		4.8	
Does agency have the 211OC Grievance Policy available upon client request (dated 10/15)?		4.8	
Does agency have 211OC HMIS brochure visible to clients?		4.4	
Does agency have 211OC HMIS brochure available on client request?		4.4	

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**Computers**

Question	Pass/Fail	Policy	Notes
Do all computers that access HMIS have virus protection software that has been updated within the last week?		2.4	
Do all computers that access HMIS have a firewall?		2.4	
Do all computers that access HMIS have locking screensavers that activates within 10 minutes of inactivity?		2.5	
Are all workstations and computer hardware (including organization network equipment) stored in a secure location (locked office area)?			
Do all computers that access HMIS have an operating system that is less than five years old?			
Do all computers that access HMIS use the most updated version of the chosen internet browser?			

**Data**

Question	Pass/Fail	Policy	Notes
Does your agency use paper forms to collect HMIS data?			
If yes, does your agency use 211OC's HMIS forms?			

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What is your process for monitoring Data Quality? Specify in notes		5.1	
Do you review the quarterly Report Cards on ochmis.org?			
Do you review the Project Performance Report?			

## HMIS Users

Question	Pass/Fail	Policy	Notes
At agency audit, does agency still have inactive users that have not been deactivated from HMIS?		1.3	
Do all active HMIS Users have a signed HMIS User Agreement on file?		1.3	
Do all active HMIS Users have a signed P&P Acknowledgement Form on file?		3.1	

## Privacy

Question	Pass/Fail	Policy	Notes
Does agency have HMIS Privacy Notice posted at every place where intake occurs (dated 10/2015)?		Agency Agrmt.	
Does agency have Note Regarding Collection of Personal Information posted at every place where intake occurs (dated 10/2015)?		4.4	
Does agency have privacy notice posted on website?		Agency Agrmt.	

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Are all hard copies (intake/exit forms) with client information protected? Specify in notes		HUD Security Standards 2004	
What is your agency's process for communicating client information over email (to 211OC and intra-agency)? Specify in notes		3.3	
Does agency keep client data (hard copy and/or electronic) for the seven years specified in HUD's 2004 Privacy and Security standards? Specify in notes		HUD Security Standards 2004	
If agency disposes of client data after the required seven years, what is the procedure? Specify in notes		HUD Security Standards 2004	

**Notes**

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