South Carolina

Homeless Management Information System

Monitoring Checklist



Revised and Approved by the South Carolina HMIS Steering Committee:

February 25, 2021

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Monitoring is conducted on all agencies that participate in the Homeless Management Information Systems (HMIS) to ensure that agencies are taking the necessary precautions to ensure that client data is always secure and protected. If an agency is found deficient and does not pass the monitoring exercise, a corrective action plan will be provided by the HMIS Lead/HMIS Contractor. The corrective action plan must be addressed within 90 days of receipt. | | | | |
| Requirements | Description | 2=Fully Met/Yes | 1=Partially Met/80% or Higher | 0+Did Not Meet/80% of lower/No |
| Policies & Procedures | Can the agency provide evidence of having access to an electronic or hard copy of the most recent Policies and Procedures Manual? | Yes |  | No – The agency did not provide evidence of access to a hard or electronic copy of the most recent P&P Manual. |
| Data Collection/Quality | Does the agency have a data collection protocol that is entered into HIMS in real-time (as it is collected)? If not, do the intake forms capture universal and applicable program specific data elements? (Section 6.5) | Yes |  | No – The agency did not provide evidence of access to a hard or electronic copy of the most recent P&P Manual. |
| For data from the past 12 months, do all the agency’s projects maintain data quality standards in compliance with Section 6.5? | Yes |  | No– The agency does not have a data collection form or protocol. |
| In the past 12 months, are > 75% of the client entry and exit records being entered into HMIS within 72 hours? | Yes |  | No |
| Do all agency programs have a 96% or higher score on the most recent data quality report? | Yes | No \_\_\_/\_\_ programs have a 96% or higher data quality score. | No |
| Does the data in HMIS accurately reflect the client situation? Note: The HMIS Committee will request to review ten randomly selected records of the clients listed in the data quality report mentioned above. | Yes | No- \_\_\_/\_\_  clients have accurate information. | No- \_\_\_/\_\_  clients have accurate information. |

**South Carolina HMIS Monitoring Checklist**

Date: \_\_\_\_\_\_\_\_\_ Agency: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Monitor(s): \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Privacy Statement | Does the agency have the Privacy Statement posted in a common area where all clients can see it? \*Appendix H | Yes |  | No |
| Hard and/or electronic copies of the Privacy Statement are available to anyone requesting a copy. | Yes |  | No |
| Does the agency have the most recent electronic or hard copy of the SC HMIS Statewide Privacy Policy. \*Appendix D | Yes |  | No |
| Hard and/or electronic copies of the SC HMIS Statewide Privacy Policy are available to anyone requesting a copy. | Yes |  | No |
| User Authentication | All Users abide by the HMIS policy for not sharing HMIS Usernames and Passwords. | Yes | No- \_\_\_/\_\_  Users abide by the policy. | No- \_\_\_/\_\_  Users abide by the policy. |
| All agency Users have logged in to the system at least once in the past 30 days. | Yes | No- \_\_\_/\_\_  Users have logged in within the past 30 days. | No- \_\_\_/\_\_  Users have logged in within the past 30 days. |
| All Users do not have their Usernames and/or Passwords displayed in a public place. (e.g., Sticky notes on monitor) | Yes | No- \_\_\_/\_\_ Users do not have their  Usernames and/or password in a public place. | No- \_\_\_/\_\_ Users do not have their Usernames and/or password in a public place or everyone has their credentials in a public place. |
| All web browsers used to access HMIS (Wellsky Community Services) are configured to not auto-fill Usernames and Passwords | Yes |  | No |
| PII Data | Does the agency have written procedures in place to protect and store hard copy data generated from or for the HMIS? | Yes |  | No |
| Have all Users received training on the proper storing of hard copy data? | Yes | No- \_\_\_/\_\_ Users have received training. | No- \_\_\_/\_\_  Users/ no Users have received training. |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | Does the agency have policies and procedures to dispose of hard copy PII? | Yes |  | No |
| Have all Users received training on the proper disposal of hard copy data? | Yes | No- \_\_\_/\_\_  Users have received training. | No- \_\_\_/\_\_  Users have received training. |
| Virus Protection, Firewall,  & Internet Connection | Agencies will have a person or agency in charge of IT to write a letter on agency letterhead to explain the agency’s virus protection, firewall credentials, and secure internet connection. | | | |
| Do all computers have a virus protection software package with automatic update enabled? | Yes | No- \_\_\_/\_\_ computers have virus protection with automatic update. | No- \_\_\_/\_\_ computers have virus protection with automatic update. |
| Does the agency have a firewall on the PC, network and/or workstation(s) to protect the devices that are used to access the HMIS? | Yes | No- \_\_\_/\_\_ computers have a firewall enabled | No- \_\_\_/\_\_ computers have a firewall enabled |
| Does the agency have a password-required secure internet connection? | Yes |  | No |
| Remote Access | Does the agency follows the Remote Access Policy included in the SC HMIS P&P Manual? (Appendix K) | Yes |  | No |
| Law Enforcement | Have all Users been trained on the procedures to follow if they are approached by law enforcement requesting data from the HMIS? | Yes | No- \_\_\_/\_\_ Users have received training. | No- \_\_\_/\_\_ Users have received training. |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| Physical Access | All workstations are password protected and set to auto-lock their screens after 10 minutes of inactivity | Yes | No- \_\_\_/\_\_ workstations are password protected with auto-lock enabled | | No- \_\_\_/\_\_ workstations are password protected with auto-lock enabled |
| All printers are accessed with access codes or printers are in a secure location where there is no public access. | Yes | No- \_\_\_/\_\_ printers follow the stipulations. | | No- \_\_\_/\_\_ printers follow the stipulations. |
| Accommodations | All Users have been trained on how to assist clients who are not English proficient or have a disability. | Yes | No- \_\_\_/\_\_ Users have received training. | | No- \_\_\_/\_\_ Users have received training. |
| Trainings | All Users have completed the necessary HMIS trainings over the past 12 months, as outlined by the CoC. | Yes | No- \_\_\_/\_\_ Users have completed all the necessary trainings. | | No- \_\_\_/\_\_ Users have completed all the necessary trainings. |
| Score | Total:  /54 | • 43+ points= Passed/no additional monitoring is needed for the year.  • >43 points= Failed/Additional monitoring for the year is needed. | | | |
| Notes |  | | | | |
| Administration | Additional Monitoring Needed? | Yes | | No | |
| Monitor Signature |  | | | |
| Agency Staff Signature |  | | | |