



2018 Desk Audit Tool

The Local Evaluation Checklist will have prepared you to submit the following information. The numbered questions describe the documentation needed and the italicized text provides further detail to help you submit the correct records and documents.

Please only provide documentation that is specifically asked for. When submitting a policy manual to fulfill a requirement, please highlight the section that satisfies the request. Each question may be addressed with a *maximum of 5 documents and each document may not exceed 2MB in size.*

Your Name: _____

Your Title: _____

Your Email: _____

Your Phone Number: _____

Agency & Project Name: _____

Staff Policies and Procedures

1. The agency has Human Resource policies in place and provides training.

Relevant policies include sexual harassment, non-discrimination, whistle blower, employee code of conduct, employee and consumer grievance procedures, confidentiality policies, conflict of interest policy, explanation of employee benefits, employee expectations, and safety/evacuation procedures.

Attachments that fulfill the requirement include:

Employee Manual or HR Handbook/policies containing specific language for all policies, including any consequences or disciplinary action outlined; Separate written policies not included in handbook or manual; Employee training documentation including specific language for the policies listed, including any disciplinary action or consequences; Policies posted in common employee area; Policies given to employee at date of hire/annually; Safety procedures; training/receipt schedule/date on file.

2. The agency is able to provide documentation that demonstrates any of the following to support staff in implementing the housing first principles:

a. On-site, ongoing support (Ex: regular group supervision, regular supervision, team meetings)

b. Off-site, ongoing support (ex: from peers, roundtables, constituency groups)



Attachments that fulfill the requirement include:

Meeting agendas or minutes; documented communication to staff; training schedule and record of participation by staff; documentation of participation in off-site events.

Homeless Management Information System (HMIS) Policies and Procedures

- 3. The agency has the HMIS Standard Agency Privacy Practice Notice posted on agency website.**

Documentation that fulfills the requirement:

Most up to date version of SAPP posted to website. Please provide a link to the page below.

- 4. The agency is able to demonstrate that all HMIS users at the agency have signed the 'HMIS End User Policy of Ethics'.**

Attachments that fulfill the requirement include:

Signed policies for all current users. Submit copies to be verified with current list of users.

Consumer Focus and Participation in Agency Operations

- 5. The agency ensures that HUD-funded services are made available to all eligible persons, according to the agency's eligibility policies, and does not discriminate on the basis of marital or familial status, political or religious belief, ethnic group identification, medical condition, sexual orientation, military status, or physical/mental disability.**

Attachments that fulfill the requirement include:

Written eligibility policy that is non-restrictive and specifies any instance which would restrict entry.

- 6. The agency is able to provide documentation that demonstrates the direct consumer input to the board or other policy making entity (i.e. agenda/minutes where consumer language was discussed with Board representation present).**

Attachments that fulfill the requirement include:

Written policy identifying the involvement of homeless/formerly homeless individuals on the board of directors or other equivalent policy making entity and attendance or agenda items to support consumer input; agenda/minutes where consumer input was given to Board; email or other communication directly to board; documented consumer participation on Board.

- 7. The agency is able to provide documentation that demonstrates volunteer opportunities or other ways to engage consumers or former consumers in the community or within the**



agency.

Attachments that fulfill the requirement include:

Volunteer sign-up available to participants; regularly scheduled volunteer opportunities; connections with outside volunteer projects.

8. The agency is able to demonstrate how feedback received from Consumer Engagement Sessions or Consumer Satisfaction Surveys are implemented.

Attachments that fulfill the requirement include:

Policy on how agency manages feedback received from consumers, including anonymous feedback boxes and consumer satisfaction surveys; supporting documentation of how feedback was implemented; record of communication to staff and participants.

Grant Management

9. The project has a tracking system in place that tracks the status of the award through the technical submission, grant agreement, development activities, start of operations, amendments, end of operations, and renewal. The tracking system also communicates dates of submission of APRs, audits, and required monitoring remedies/sanctions.

Attachments that fulfill the requirement include:

Tracking spreadsheet; checklists; schedules; timetables; other tracking system utilizing spreadsheets or other means.

10. The project has been monitored by HUD within the last two years and is able to provide monitoring documentation.

Attachments that fulfill the requirement include:

Audit notification letter; monitoring report from HUD; related correspondence between agency and HUD, etc.

Housing Quality and Standards

11. The project is able to provide inspection forms regarding the regular Housing Quality Standards/Health and Safety Inspections (at the facility where services are provided). The project is able to demonstrate the frequency with which the inspections occur, title(s) of who conducts inspections.

Attachments that fulfill the requirement include:



Template of inspection forms used and policy or procedure outlining frequency and other expectations of HQS inspections.

Best Practices

- 12. The project has documentation demonstrating the topics of staff diversity trainings (which may include topics such as race, cultural, religion, sexual orientation, gender, or age) attended by project staff within the last calendar year.**

Attachments that fulfill the requirement include:

Documentation of trainings offered; frequency and attendance by staff included; topics address diversity

- 13. The project has documentation demonstrating the topics of staff development trainings (other than diversity trainings) attended by project staff within the last calendar year, including but not limited to:**

A) Formal trainings in 'Harm Reduction'

B) Formal trainings in 'Motivational Interviewing'

Attachments that fulfill the requirement include:

Documentation of trainings offered; frequency and attendance by staff included; topics other than diversity addressed

- 14. The project is able to provide documentation of evidence based practice model if the staff members who deliver services or case management for the project use *other* evidence based practice models with consumers.**

Attachments that fulfill the requirement include:

Documentation of other EBP used in the project; training materials or documentation of staff expectations

Resource Linkage

- 15. The project has access or linkage to specialized resources for consumers in the project to meet the unique needs of consumers with:**

A) Psychosocial barriers (i.e. substance use counseling, psychiatric services)

B) Physical disabilities

C) Communication barriers (i.e., interpreter, bilingual materials, Braille materials, Text Telephone - TTY/TDD)



*Attachments that fulfill the requirement include:
MOU/linkage agreement documenting services offered for each category (a-c); Referrals to other resources*

Policies and Practices

16. The project has documentation demonstrating the topics and attendance of staff development trainings in:

- **Housing First Principles**
- **HUD Definitions of Homelessness**
- **HUD Chronically Homeless Definition**
- **Chicago's Continuum of Care**

*Attachments that fulfill the requirement include:
Documentation of trainings; attendance by staff; and frequency of attendance*

17. The project is able to provide a copy of the consumer handbook and/or orientation that demonstrates how the discharge policy is explained and is easily accessible to consumers.

*Attachments that fulfill the requirement include:
Consumer Handbook and orientation materials include discharge policy*

18. The project is able to provide a copy of the menu of services available to consumers which demonstrates a variety of services offered.

*Attachments that fulfill the requirement include:
Pamphlet or policy outlining menu of services available to consumers; intake procedures or client handbook include menu of services offered to clients; menu includes a variety of services, are flexible, etc*

Supportive Services, Case Management, and Record Retention

19. The agency is able to provide a policy which outlines expectations of Individual Service Plans and a copy of a service plan template.

*Attachments that fulfill the requirement include:
A policy that includes expectations of how to complete a service plan, who should complete said plan, and how often. A template that clearly outlines dates, timelines, participation, signatures, frequency of review, individualized and measurable goals.*



20. The agency is able to provide a policy to support period of record retention. Records pertaining to the program participant's qualification for the CoC Program are being retained for a minimum of 5 years after the expenditure of all funds from the grant under which the program participant was served. (24 CFR 578.103(c)(1))

Attachments that fulfill the requirement include:

Record retention policy outlining time frame for retaining client files.

Additional Comments

21. Please provide any comments or questions.