

**SCICH HMIS Monitoring Checklist**

Date: \_\_\_\_\_

Agency: \_\_\_\_\_

Monitors: \_\_\_\_\_

Monitoring is conducted on all agencies that participate in the Homeless Management Information Systems to ensure that all agencies are taking the necessary precautions to ensure that client data is secure and protected at all times.

Requirement	Description	2=Fully Met/Yes	1=Partially Met/80% or higher	0=Did Not Meet/80% or lower/No
Policies & Procedures	Does the agency have a copy of the latest Policies and Procedures manual with all amendments?	Yes		No Agency does not have a hard or electronic copy readily available to users.
Data Collection	Does the agency have a data collection form and/or protocol that captures universal and program specific (where applicable) data elements?	Yes		No— The agency does not have a data collection form or protocol.
	Agency is capturing universal data on all clients.	Yes		No
	Agency is capturing program level data as required.	Yes		No
	All users have been trained on revised protocols and any new data standards by the system administrator.	Yes	No- ___/___ users have been trained.	No- ___/___ users/ or no users have been trained.
	All programs have a 96% or higher data quality score.	Yes	No- ___/___ programs have a 96% or higher data quality score.	No- ___/___ or no programs have a 96% or higher data quality score.
	All users understand that clients can't be denied services based on HMIS participation.	Yes	No- ___/___ users gave the correct answer.	No- ___/___ users gave the correct answer.
Privacy Statement	Does the agency have the Privacy Notice posted in a common area where all clients can see it? *Appendix F	Yes		No
	Hard and/or electronic copies of the Privacy Notice are available. *Appendix F	Yes		No
	Does the agency have a privacy policy? *Appendix E	Yes		No
	Hard and/or electronic copies of the privacy policy are available. *Appendix E	Yes		No

User Authentication	All users abide by the HMIS policies for unique user names and password.	Yes	No- ___/___ users abide by the policy.	No- ___/___ users abide by the policy.
	All users know not to share usernames and passwords.	Yes	No- ___/___ users gave the correct answer.	No- ___/___ users gave the correct answer.
	All users do not have their usernames and password in a public place. (ie. Sticky notes on monitor)	Yes	No- ___/___ users do not have their usernames and password in a public place.	No- ___/___ users do not have their usernames and password in a public place or everyone has their credentials in a public place.
PPI Data	Does the agency have procedures in place to protect hard copy and/or electronic PPI information generated from or for the HMIS?	Yes		No
	Hard copies are stored in locked drawer or office?	Yes		No
	All staff have received training on hard copy data protections?	Yes	No- ___/___ users have received training.	No- ___/___ users/ no users have received training.
	Sampling of no less than 10 clients			
	Any PPI data entered after expiration of the ROI?	Yes	Yes- ___/___ ROIs were expired	No- ___/___ ROIs/all ROIs were expired
PPI Storage	Does the agency dispose of 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		No
	Does the agency have policies and procedures to dispose of hard copy PPI or electronic media?	Yes		No
	All users are trained on the proper disposal of data?	Yes	No- ___/___ users have received training.	No- ___/___ users have received training.
Virus Protection	Do all computers have virus protection with automatic update?	Yes	No- ___/___ computers have virus protection with automatic update.	No- ___/___ computers have virus protection with automatic update.
	Auto-update turned on.	Yes		No
*Not scored	Virus software and version: _____ Person responsible for monitoring/updating: _____			

Firewall	Does the agency have a firewall on the PC, network and/or workstation(s) to protect the HMIS systems from outside intrusion?	Yes		No
*Not scored	Setup: <input type="checkbox"/> Individual work station <input type="checkbox"/> Network Version: _____			
Workstation Authentication	Does the agency have a secure internet connection?	Yes		No-___/___ computers have a secure internet connection
* Not scored for 2019 monitoring	The agency has a policy and has trained all users on internet and data security if work is taken outside of the office. <input type="checkbox"/> Yes <input type="checkbox"/> No			
	Does your agency have a Chief Privacy Officer that is in charge of privacy and yearly data audits? <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, please list who. _____			
	All users understand that if approached by law enforcement that information on clients that is in HMIS or the location of clients cannot be disclosed without a court order. The HMIS administrator should be contacted in the event this happens. <input type="checkbox"/> Yes <input type="checkbox"/> No			
Physical Access	All HMIS workstations are in secure locations or are they manned at all times if they are in publicly accessible locations.	Yes	No-___/___ workstations are in a secure location or manned at all times.	No-___/___ workstations are in a secure location or manned at all times.
	All workstations have password protected workstations with password protection screen saver set at 10 minutes of less.	Yes	No-___/___ workstations are setup with the security features.	No-___/___ workstations are set-up with the security features.
	All printers are accessed with access codes or printers are in the same room as the user.	Yes	No-___/___ printers follow the stipulations.	No-___/___ printers follow the stipulations.
Accommodations	The agency has a protocol in place to assist clients who are not English proficient or have visual disabilities?	Yes		No
	All user have been trained on the protocol or how to assist clients who are not English proficient or have visual disabilities.	Yes	No-___/___ users have received training.	No-___/___ users have received training.
<b>Score</b>	<b>Total:</b> ____/60	<ul style="list-style-type: none"> <li>48+ points= Passed/no additional monitoring is needed for the year.</li> <li>&gt;48 points= Failed/Additional monitoring for the year is needed</li> </ul>		
<b>Notes</b>				
	Additional Monitoring Needed: <input type="checkbox"/> Yes <input type="checkbox"/> No Monitor Signature: _____ Agency Staff Signature: _____			