



2020 Desk Audit Tool

Your Name: _____
 Your Title: _____
 Your Email: _____
 Your Phone Number: _____
 Agency Name: _____
 Project Name(s) (list project(s) selected for CoC monitoring): _____

Introduction

The questions included in this tool are based on HUD CoC regulations or priorities that have been established locally. The San Diego CoC expects each program that receives HUD CoC funding to be able to demonstrate compliance with these questions.

Each agency that is being monitored will complete one survey even if multiple projects are selected for CoC program monitoring. The majority of questions in the desk audit tool relate to agency-level practices or policies. However, if a question is project-specific and the agency is being monitored for multiple projects, a response will be required for each project.

RTFH recognizes that each agency/project operates differently and that there is a range of possible practices that may be acceptable for every question. Therefore, with many of the questions there is an opportunity to write a narrative describing how the agency/project fulfills the expected standards.

Instructions

The agency receives the link to the SurveyGizmo desk audit tool on the first day of the monitoring window, and it is due on day 10 of the monitoring window. The agency will receive a summary report on day 30 which will contain the desk audit results. A conference call is scheduled between days 31-35 to discuss the desk audit results and to develop a technical assistance (TA) plan. TA activities occur during days 36-45 of the monitoring window or are scheduled for future dates as necessary.

When uploading files, please only provide documentation that is specifically requested. When submitting a policy manual to fulfill a requirement, please highlight the section that satisfies the request. There is a limit of 8 file uploads per question and each document may not exceed 2MB in size. However, please notify RTFH if you have additional documentation you would like to submit.



Sections

- Homeless Management Information System (HMIS) Policies and Procedures (2 questions)
- Staff Training and Support (3 questions)
- Supportive Services and Resource Linkage (5 questions)
- Program Management (1 questions)



- 1. The agency has the HMIS Notice of Privacy Practice posted on agency website.**
Monitors will check to see that the agency’s website has the most up to date version of the NPP posted to the agency website.

Please provide a direct link to the posting on your agency’s website:

- 2. The agency is able to demonstrate that all HMIS users at the agency have signed the 'Multiparty Authorization to Use and/or Disclose Information'.**

Monitors will run a report of current HMIS users at the agency and verify there is a signed form for each user. Please upload signed policies for all current users.

File Upload:

Staff Training and Support

- 3. Does your agency have a policy regarding professional development? If so, please upload the policy.**

File Upload:

- 4. Does your agency have a system for tracking staff training attendance, such as a training spreadsheet, log or tracker? If so, please upload a completed version.**

File Upload:

- 5. Please describe how the agency provides staff with training opportunities in the following subject areas. Please indicate whether opportunities are available to new staff, existing staff, or both. Please also note whether the opportunities are internal or external, and the frequency.**

A) Diversity training: may include topics such as race, cultural, religion, sexual orientation, gender, age, etc.

B) Best practices and evidence-base practice models: may include topics such as housing first, harm reduction, motivational interviewing, trauma-informed care, etc.



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B) **Best practices and evidence-base practice models: may include topics such as housing first, harm reduction, motivational interviewing, trauma-informed care, etc.**



C) Homelessness: may include housing first, HUD's definitions of homelessness, HUD's chronically homeless definition, and RTFH's, etc.

D) Other - Please explain:

If it is possible to upload evidence/documentation of the implementation of the methods you described for providing training opportunities to staff, please upload the files here. Examples of evidence/documentation may include training logs or trackers, training announcements shared with staff, sign-in sheets, certificates of attendance, or other documents. If you already uploaded a training tracker spreadsheet with question #4, you do not have to re-submit that or submit additional documentation.

 **File Upload:**

If it is difficult to upload evidence/documentation of the agency's methods, please indicate whether there is something that can be shown to monitors during an on-site visit. Staff interviews are **not** an option for this question.

Supportive Services and Resource Linkage

6. Please describe how the agency helps participants meet unique needs, whether by meeting the needs internally, referring to an outside source (if so, indicate the referral source/linkage agreement), or if a staff person has responsibility for seeking resources as needs arise.

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


B) Physical disabilities



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


7. Please describe how the agency shares informational resources with the program participants to affirmatively further fair housing and upload resource documents. Monitors will verify that the resources include information about who is protected, what actions are prohibited, how to file a complaint, and how to contact local fair housing enforcement agencies. For transitional housing projects, the program has resources for participants to utilize when searching for permanent housing.

Upload the fair housing document(s) here. Documentation may include brochures, pamphlets, fliers, training materials, etc.

 File Upload:


8. Please submit the menu and variety of services available to program participants. Monitors will verify that the project makes a variety of services available to meet the range of possible service needs that the program's population may have.

Upload the menu of services.

 File Upload:

9. Please describe how the project conducts an annual assessment of the service needs of the program participants and adjusts services accordingly. Monitors will verify that the process includes assessment of receipt and renewal of mainstream benefits, access to health care, and a range of other possible service needs.

Upload the documentation demonstrating annual assessment of service needs, such as an annual assessment template or policy/procedure for completing annual assessments. Other documentation may be acceptable.


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- 10. For projects that serves families, the project is able to describe and/or provide a policy or procedure to support how staff ensure the following:**
- A) Families with children under 18 are not separated or denied admission into housing**
 - B) Children are enrolled in school or preschool and families are provided guidance and support in doing so**
 - C) Families enrolled in transitional housing projects are connected to school.**

 - D) The project’s case management model includes developmentally appropriate service planning for each member of the family**
 - E) Children have access to developmental screening**
 - F) Families are assisted with accessing child-care**
 - G) The project assesses and monitors the health of children**
 - H) The project’s facilities utilize space and materials to promote healthy parent-child engagement.**

If you have documentation demonstrating implementation of the methods you described for supporting families, such as a policy or procedure manual, referral templates, pamphlets, or brochures, please upload the file(s) here. Other documentation may be acceptable.


 File Upload:

If it is difficult to upload evidence/documentation of the family supports provided, or if you were unaware that you should have a policy or procedure, please indicate that here. Indicate if there is something that can be shown to monitors during an on-site visit or if you are willing to have monitors interview staff during the visit.

Program Management Policies

- 11. 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))**

Upload the policy or procedure for record retention here.

 File Upload:

Additional Comments

- 12. Please provide any comments or questions.**