

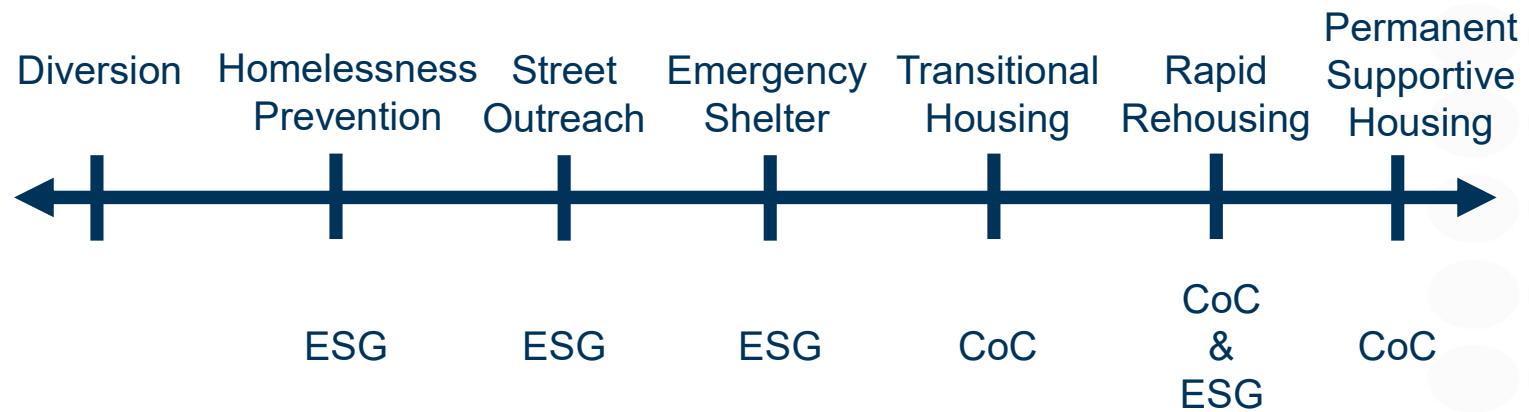
REQUIRED CLIENT DOCUMENTATION

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A HOMELESS RESPONSE CONTINUUM



CLIENT FILES TELL A STORY



TRAINING OBJECTIVES

By training's end, case managers will be able to:

- reference client file checklists and exercise judgment on when and how to complete various forms/documentation
- apply best practices for documentation and recordkeeping
- protect client files through various document security measures
- promptly furnish client file documents during monitoring reviews.

OPENING QUESTIONS

1. Why are client files important?

2. How do you feel about client files as
part of your job?

What's your general attitude toward
them?

GENERAL CLIENT FILE REQUIREMENTS

- Client files are required by HUD regulation:
 - CoC - [24 CFR 578.103](#)
 - ESG - [24 CFR 576.500](#)
 - HOPWA - [24 CFR 574.530](#).
- Per award agreements, IHCDa subrecipients must enter certain data into HMIS or DV ClientTrack.
This data includes:
 - **demographic information, enrollments, move-in dates (when applicable), exits, household member(s), annual assessments, & household/income updates.**
- Aside from the data elements above, subrecipients can choose where to keep the rest of the client file documents.
Choices are:
 - as a paper file
 - as a digital file within a secure software or website **or**
 - a combination of paper file and digital file.

ASSURING YOU HAVE ALL REQUIRED FORMS

- One common solution (for the above) is a *client file (CF) checklist*.
- CoC CF checklist is on Pages 88-89 of [IHCD's CoC Manual](#).
- ESG RRHP checklist is on Page 3 of [IHCD's ESG RRHP Manual](#).
- HOPWA checklists are in Appendixes E-H of [IHCD's HOPWA Manual](#).
- Checklists may have some limitations.
 - They may not fully capture all the possible scenarios of the workflow.
 - Case managers may need to exercise judgment and/or reach out to IHCD for guidance on less common situations.
- Agencies have **an open invite** to contact IHCD Analysts to:
 - review your organization's CF checklist
 - discuss forms.

HMIS ENTRY ASSESSMENT

- The Entry Assessment should be consistent with the beginning of a client's interaction with the project.
- The entry assessment is made up of smaller assessments
 - HMIS Barriers
 - HMIS Universal Data
 - Domestic Violence
 - Financial
- **How does the Entry Assessment impact the CoC closeout process?**

Progress 4 of 7

HMIS Barriers	Complete
HMIS Universal Data	Complete
Homeless Prevention	
T-Cell Count/Viral Load	
VASH Voucher Tracking	
Domestic Violence	Complete
Financial	Complete

Slide 29

WB1 Keep this here for now.

Wes will move it to the notes or another slide later.

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HMIS EXIT ASSESSMENT

- The Exit Assessment should be consistent with the end of the of the client's interaction with the project.
- The Exit Assessment is the final point of project data collection for a client including:
 - HMIS Barriers
 - HMIS Universal Data
 - Financial
- The exit assessment produces the outcome data for the client's enrollment.
 - Change in income, health insurance, housing, etc...

Progress		3 of 8
Financial	Complete	
HMIS Barriers	Complete	
HMIS Universal Data	Complete	
Housing Assessment Disposition at Exit		
HUD VASH Exit Assessment		
RHY Exit Assessment		
T-Cell Count/Viral Load		
VASH Voucher Tracking		

CHOOSING THE RIGHT EXIT DESTINATION

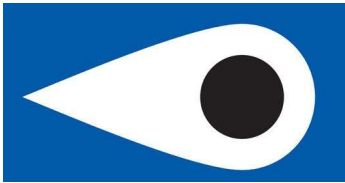
- **Exit destination is the “where”, not necessarily the “why”.**
- For residential projects that expect a client to move out upon exit, record where the client is expected to be moving.
 - **Project types:** Emergency Shelter, Transitional Housing, Safe Haven, and Project-based Permanent Supportive Housing.
- For projects where a client is not expected to relocate upon exit, record where the client is expected to stay after they complete project activities.
 - This may be where they were staying during program enrollment or prior to starting the project.
 - **Project types:** Homeless Prevention, Rapid Re-Housing, and Supportive Services.
- Word-of-mouth information from anyone other than the client should not be used as a source for exit destination responses in HMIS.
- **How does this tie into grant closeout?**

Exit Assessment – Data Quality
Coffee Talk

BEST PRACTICES FOR CLIENT FILE DOCS

- Client files should “tell a story”.
- Assure forms are complete and correct.
(When in doubt, ask IHCD.)
- Handwriting needs to be legible.
- Signing & dating forms?
 - **When indicated on form**, forms need to be dated & fully signed/executed.
 - **When not indicated on form**, case managers can use their judgment about signing or not.
- Ideally, participant files are organized in some way.
 - Organizing form chronologically (i.e. case manager’s workflow) is common.
 - Your agency may have a policy on this.

SECURITY MEASURES



general vigilance
& awareness



double-lock policy



files filed away
when not in use



time-bound &
signed ROI's



locking computers

Don't share
passwords!

12345678



PxH1#n!8



strong passwords

PRODUCING FILES FOR IHCDA MONITORING REVIEWS

WHEN	Produce client files within timeframe indicated on monitoring notice.
HOW LONG	Retain client files (CF) for the duration required by your funding stream: • CoC – 5 years 24 CFR 578.103(c) • ESG – 5 years 24 CFR 576.500(y) • HOPWA – 4 years 24 CFR 574.530
WHAT	Produce only the CF documents related to the HUD award being monitored. • It's not required or desirable to produce entire CF.
HOW ¹	Paper files – upload to a secure MS Teams folder. • Only subrecipient staff involved in monitoring & IHCDA's CS Monitoring Team have access to this folder.
HOW ²	Digital files – IHCDA's CS Monitoring Team accesses files in HMIS or DV ClientTrack.

CLIENT FILES TELL A STORY- CONCLUSION



IHCDA CONTACTS

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IHCDA Contacts [webpage](#)

RESOURCES

IHCDA's [CoC](#), [ESG](#) & [HOPWA](#) Program Webpages

HUD Exchange's [CoC](#), [ESG](#) & [HOPWA](#) Program Webpages

[HMIS Data Portal](#)

[HelpDesk Webpage](#) for HMIS & DV ClientTrack