



Quality Assurance Standards (QAS)

Monitoring Tool

2012

Quality Assurance Standards (QAS) Program

In 1990, the Coalition for the Homeless staff along with community agencies serving the homeless established best practice standards for providing shelter and services. The Quality Assurance Standards (QAS) Program is used to monitor homeless shelters, insuring the best possible services are being provided.

QAS compliance is referenced when considering project funding through the HUD Continuum of Care process, and project funding through the grants committee's Emergency Services Grant (ESG), Community Development Block Grant (CDBG) and certain other Louisville Metro Government funding.

To participate in the QAS compliance process an agency must meet The Coalition's homeless designation requirements policy:

- The agency/program serves only persons who meet the HUD definition of homeless or
- A portion of the population that the agency/program serves meets the HUD definition of homeless. In this case, only those activities actually providing service to persons meeting the HUD definition of homeless can be considered as serving the homeless.

Completing the QAS monitoring process includes:

1. The completion of the standard monitoring tool by each shelter.
 - The monitoring tool is a self assessment report that measures how each agency manages addressing and ending homelessness; administration; community participation; operations and personnel.
 - Coalition staff provides technical assistance to shelter staff during the self-assessment phase.
2. A survey completed by clients living at the shelter and administered by Coalition staff.
3. A site visit to the shelter conducted by a team of Coalition staff, shelter peers and community volunteers.
4. After the first three steps, Coalition staff issues a letter indicating the compliance of the shelter.

INSTRUCTIONS FOR COMPLETING THE QAS MONITORING TOOL:

1. Please write a short agency narrative, no more than one page, describing your programming, organizational structure, the scope of services, etc. Submit letter on top of the monitoring tool when completed.
2. On the following pages, respond to each standard by checking yes or no. Answer each question. If the item does not apply to your agency/program, indicate N/A in the space marked "yes" and give a short explanation in the comment section.
3. If the answer is "no" please explain in the comment section.
4. If the standard is marked "yes," then the appropriate documentation to support the response is required. Put the reference page and document title in the comments section. For example, one might note beside the standard for an organizational chart that it can be located on "page four of the personnel manual," or "please see appendix E".
5. Please submit one copy of the completed monitoring tool with all documentation to:

**Senlin Ward
The Coalition for the Homeless
1300 S. Fourth Street, Ste. 250
Louisville KY 40208**

QAS MONITORING TOOL AGENCY INFO

AGENCY NAME: _____

AGENCY ADDRESS: _____

MONITORING TOOL CONTACT: _____

E-MAIL ADDRESS: _____ PHONE: _____

DATE DUE TO COALITION: _____

QAS Assurance Monitoring Tool

ADDRESSING AND ENDING HOMELESSNESS

Standard	Yes	No	Comments
<p>(1.0) The agency's written policies for its case management programming include at least the following:</p> <ul style="list-style-type: none"> a. Client assessment is conducted in a culturally responsive manner; b. Within one week of entering an agency, a client assessment is conducted to determine status in the following areas: <ul style="list-style-type: none"> <input type="checkbox"/> Homeless verification <input type="checkbox"/> Screening for SOAR <input type="checkbox"/> Veteran status <input type="checkbox"/> Chronic homelessness Once status is determined appropriate action is taken per agency policy; c. Develop case plan with short and long term goals; d. Clients are connected with outside resources as necessary; e. Clients are engaged in group meetings as necessary; f. Case plans are monitored on a regular basis; g. Face-to-face visits and follow-up meetings are conducted as necessary; h. Case plan progress is documented; and i. Crisis intervention is used as needed. <p>*** See additional case management information Appendix A.</p>			
<p>(2.0) The agency has a written client disciplinary and grievance policy in which all the initial response to grievances are addressed within five working days, and the policy includes the option of going to the Coalition for the Homeless when the agency process has been exhausted.</p>			

<p>(3.0) The agency has a formal anonymous process for addressing client suggestions and appropriate responses are posted in common areas and/or discussed in client meetings.</p>			
<p>(4.0) The agency evaluates the educational status and needs of school-age children and youth; and</p> <ul style="list-style-type: none"> a. Informs youth and their parents of their educational rights; b. Coordinates educational services with local school district; c. Has a designated staff member to monitor the children's enrollment and attendance in school; and d. Posts the McKinney- Vento Education poster (English and Spanish version) listing educational rights in their facility. 			
<p>(5.0) The agency has a written policy describing fiscal management for clients, including payee programs, client funds and policies regarding client valuables.</p>			
<p>(6.0) The agency has written goals and objectives for each program and a means for monitoring, measuring, and evaluating program success.</p>			
<p>(7.0) A HUD homeless verification form (see attached – Appendix B) is completed on every client staying in the agency and placed in their client file.</p>			
<p>(8.0) The agency posts or provides information to clients including at least the following:</p> <ul style="list-style-type: none"> a. Affordable housing opportunities; b. Education or training opportunities; c. Employment options; d. Alcohol and drug services; e. Domestic-violence services; f. Financial assistance; g. Physical and mental health services; h. Legal services; i. Youth services; j. Voter registration and voting opportunities 			
<p>(9.0) The agency has a written policy that prohibits religious participation as a prerequisite to receiving agency services.</p> <ul style="list-style-type: none"> <input type="checkbox"/> Agency is ineligible for government funding if this standard is not met, and will receive conditional QAS compliance. 			
<p>(10.0) The agency presents each client with a copy of the rules and regulations and the client's rights and responsibilities at entry. The agency rules and regulations are also posted in common areas throughout the agency.</p>			
<p>(11.0) Each client entering the program is screened for SOAR eligibility within one month.</p>			
<p>(12.0) Veterans are identified within one month of entry into program and referred to the VA if the vet has seen active service.</p>			

ADMINISTRATION

Standard	Yes	No	Comments
(1.0) The agency is a 501c3 nonprofit and will provide a copy of this certificate, along with a copy of its Articles of Incorporation and its Mission Statement .			
(2.0) The agency's Board of Directors consists of voluntary (unpaid) members, with the possible exception of the agency's CEO or Director (<i>see attached form – Appendix C</i>) <input type="checkbox"/> Board of Directors will meet at least on a quarterly basis and will set overall policy for the agency			
(3.0) The agency has a conflict of interest policy that is followed by its Board of Directors and all employees.			
(4.0) The agency evaluates the effectiveness of the services offered, at least annually.			
(5.0) The agency's fiscal management includes: a. An audit completed by an independent audit or a management letter completed by a certified public accountant (within the last year) – (<i>submit copy</i>); b. An annual budget for the current fiscal year, listing both revenue and expenses, indicating it has been approved by the agency's Board of Directors – (<i>submit copy</i>); c. An accounting system maintained in accordance with Generally Accepted Accounting Principles (GAAP); d. Financial statements for the past year (produce at site visit); e. Procurement policy approved by the Board of Directors- (<i>submit copy</i>); f. Internal fiscal control procedures, reviewed and approved by the Board of Directors (produce at site visit);			
(6.0) The agency has a list of program descriptions approved by its Board of Directors – (<i>submit copy</i>).			

COMMUNITY PARTICIPATION

Standard	Yes	No	Comments
(1.0) The agency actively collaborates with other homeless service providers and community resources to facilitate access to the continuum of community services.			
(2.0) The agency is listed on the housing inventory chart .			
(3.0) The agency participates in the Louisville Continuum of Care process with appropriate representation and maintains at least a 75% attendance rate at monthly meetings			
(4.0) The agency collects and submits data as needed to the Coalition on the following: a. Lack of education b. Mental illness c. Physical disabilities d. Chemical dependency e. Domestic violence			

f. Runaways g. Employability of people experiencing homelessness h. Workforce skills of people experiencing homelessness or at risk of homelessness i. Types of discrimination encountered by those experiencing homelessness j. Demographic information k. Participation in mainstream benefits l. Outreach programs and resources m. Institutional discharge n. Level and sources of income			
(5.0) The agency participates in quarterly occupancy counts and HUD's annual point-in-time count .			

OPERATIONS

Standard	Yes	No	Comments
(1.0) The agency is in compliance with applicable provisions of the ADA and has a written plan for reasonable accommodation of persons with disabilities.			
(2.0) The agency maintains an attendance list which includes at least the name and gender of each person receiving services.			
(3.0) The agency provides information on how to meet basic needs such as food, clothing, shelter, physical and mental health services.			
(4.0) The agency's bathrooms are maintained by: a. Keeping showers, wash basins, and toilets in working condition; b. Keeping water fixtures running at recommended hot-water temperatures; c. Providing adequate supplies including soap and toilet paper; and d. Documenting daily cleaning and regular maintenance.			
(5.0) The agency provides sufficient quantities of bed and bath linens for daily attendance.			
(6.0) The agency has a written client confidentiality policy covering the following areas: a. Traditional filing methods; b. Electronic data collection and sharing; c. Person-to-person exchanges; d. Group settings; and EXCEPTIONS, SUCH AS A DUTY TO WARN.			
(7.0) The agency has a written policy regarding client transportation which could include the following: a. No provision of transportation; b. Providing bus tickets or monthly bus passes; c. Agency provided transportation; or d. Making public transportation schedules available to clients.			
(8.0) The agency has a written Drug-Free Workplace policy that is applicable to all staff, trustees, volunteers and clients and is posted in common areas.			
(9.0) The agency is prepared for emergency medical procedures by-			

<ul style="list-style-type: none"> a. Having a written emergency medical plan outlining procedures; and b. Training staff on current plan and addressing any changes as they occur. 			
<p>(10.0) The agency is prepared for emergency safety by-</p> <ul style="list-style-type: none"> a. Having a written plan for fire, tornado, snow, flood, and other general emergencies; b. Training staff on current procedures and addressing any changes as they occur; and c. Placing a NOAA all weather radio in an area where either staff or clients will hear; 			
<p>(11.0) The agency posts emergency telephone numbers near each telephone including, but not limited to, 911 and poison control.</p>			
<p>(12.0) The agency has written procedures for facility vehicle(s) use, inspection, maintenance and operation including:</p> <ul style="list-style-type: none"> a. a maintenance log for servicing each vehicle; b. appropriate insurance for vehicles, drivers, and passengers; and c. each driver has a valid driver's license. 			
<p>(13.0) Children under the age of 18 are not separated from their families (as of April 2011 – HUD rule).</p>			
<p>(14.0) The agency provides fire safety by –</p> <ul style="list-style-type: none"> a. Conducting fire drills at least quarterly; b. Documenting inspection of fire extinguishers; c. Installing fire detection systems which conform to local building and fire codes; and d. Maintaining adequate fire exits and adequate emergency lighting. 			
<p>(15.0) Homeless Management Information System (HMIS):</p> <ul style="list-style-type: none"> a. All staff entering HMIS data are appropriately trained and have an individual user license with a unique user name and password. b. Staff signs an HMIS “User Confidentiality Agreement” form before entering data. c. The agency posts the following HMIS forms in a public place: <ul style="list-style-type: none"> <input type="checkbox"/> “Collection of Protected Personal Information” <input type="checkbox"/> “Questions and Complaints” d. The agency enters required clients data in a timely manner as specified by the policies and procedures outlined in the HMIS manual published by the Kentucky Housing Corporation (KHC). e. If client information is shared between agencies, an HMIS “Client Release of Information” form (English and Spanish) is completed and placed in each client file. f. Coalition HMIS staff are notified within 5 days to deactivate user accounts. g. The agency participates in quarterly HMIS data quality program. 			
<p>(16.0) The agency has a written housekeeping plan including procedures for implementation.</p>			

<p>(17.0) The agency is inspected by appropriate entities which could include the following – (produce certificates at site visit):</p> <ul style="list-style-type: none"> a. Louisville Metro License for serving homeless persons or conditional use permit b. Boiler (as applicable) c. Child care facility d. Elevators e. Heating/cooling systems 			
<p>(18.0) Each shift has a staff member with a working knowledge of intake policies and procedures including daily attendance sheets.</p>			
<p>(19.0) The agency provides reasonable access to adequate laundry facilities and supplies which could include on-site services or access to neighborhood facilities.</p>			
<p>(20.0) The agency has a written maintenance plan for regular care of equipment, fixtures, furniture and addresses the following:</p> <ul style="list-style-type: none"> a. Maintenance requests and follow-up; b. Adequate air circulation; c. Sufficient lighting and electrical outlets both inside and outside the building; d. Proper heating/cooling systems; e. Appropriate pest control; f. Removal of garbage; and g. Clearance of entrances, exits, steps and walkways of debris, ice, snow and other hazards. 			
<p>(21.0) The agency provides overnight clients with pest-free, secure property storage, which at a minimum approximates the size of a 5 gallon storage bin to accommodate a back pack (exception during White Flag).</p>			
<p>(22.0) The agency has secure storage space for confidential documents relating to clients and personnel.</p>			
<p>(23.0) The agency keeps a list of all clients who receive TARC tickets and the ticket numbers to produce for review.</p>			
<p>(24.0) The agency has a written policy regarding weapons addressing the concealed carry law and whether or not weapons, including firearms, are allowed on the premises. Weapon definitions, handling and storage procedures are included in the policy. Weapons policy sign is posted in common areas.</p>			

PERSONNEL

Standard	Yes	No	Comments
(1.0) All case managers must have at least a bachelor's degree in social work or a related social service discipline; a bachelor's degree plus two years social services experience with social service supervision; or a high school diploma/GED and two years of social service experience with social service supervision.			
(2.0) Employee Training will be provided in at least the following areas: a. Emergency evacuation procedures within first week; b. Agency operating procedures within first week; c. Referrals to community resources within first week d. First aid, CPR, universal precautions; within first year; e. Non-violent crisis intervention techniques within first year' f. HMIS operation and information (if applicable) within first six months			
(3.0) The agency operates in compliance with all applicable Equal Employment Opportunities and Affirmative Action requirements.			
(4.0) The agency has written job descriptions for each type of staff member – (<i>submit copy</i>).			
(5.0) The agency has an organizational chart that delineates job titles, positions, and lines of responsibility for current staff – (<i>submit copy</i>).			
(6.0) The agency has written personnel policies detailing employee responsibilities, rights, roles, benefits, job requirements, grievance procedures, hiring and termination procedures, annual employee review protocol, hours of operation, and the agency's compensation and benefits plan (<i>produce at site visit</i>)			
(7.0) The agency has a uniform policy that prohibits sexual harassment which is applicable to staff, trustees/Board, volunteers and clients.			
(8.0) The agency has a staff member files (<i>produce at site visit</i>) that include <u>at least</u> the following: a. Job description; b. Resume and proof of job qualifications; c. Record of criminal background check (per agency policy and procedure); and d. Training certifications.			
(9.0) The agency has written procedures for selecting and training all volunteers . These procedures include: job descriptions for ongoing volunteers, orientation and assignment-specific training as needed. If working with children, volunteers must receive yearly state criminal background checks – (<i>submit copy of policies</i>).			

APPENDIX A

Case Management Resources

National Association of Social Work Case Management Standards

http://www.naswdc.org/practice/standards/sw_case_mgmt.asp

Council on Accreditation: Case Management Services

http://www.coastandards.org/standards.php?navView=private§ion_id=69

COALITION for the HOMELESS

Educate Advocate Coordinate

Louisville Metro Continuum of Care Required Information and Documentation

Applicant Name	Social Security Number	Date of Birth	Today's Date
Referral Source	Contact Person	Phone Number	
Intake Person's Name	Intake Agency		

VERIFICATION OF HOMELESSNESS

In order for this agency to serve someone using HUD CoC or ESG funds, he/she **MUST** meet at least one of the following situations **AND** the required documentation must be present to verify his/her situation.

Where did this person/family sleep last night?	Check at least one	Documentation Required	Documentation Attached	Super. Init.
On the street or in a place not meant for human habitation		Preferred: A signed and dated general certification from an outreach worker verifying that this person is homeless and indicates where this person slept last night. Acceptable: A signed and dated statement from a third party stating that this person is homeless and indicates where this person slept last night.		
In an emergency shelter for homeless persons.		A signed and dated referral from the emergency shelter's staff AND where the person was residing/sleeping the night prior to entering the emergency shelter.		
In a transitional program for homeless persons.		A signed and dated verification from the transitional program's staff that includes when the person resided in the transitional program AND where the person was residing/sleeping prior to entering the transitional program.		
In a private dwelling but is being evicted AND has no place else to go.		Documentation of the following: <input type="checkbox"/> Income <input type="checkbox"/> Efforts to obtain housing <input type="checkbox"/> Why the person would be on the street without the assistance from this agency AND <input type="checkbox"/> One of the following: Documentation of formal eviction proceedings OR A signed and dated statement from the family member who is evicting the participant that includes: ▪ Date the person is to be out of the dwelling (Must be within the week of receiving assistance from this agency) AND ▪ A statement that the person cannot return.		
In an institution where he/she was staying for less than 31 days AND who previously resided on the street or in an emergency shelter.		A signed and dated statement from the facility that the person has been there less than 31 days AND verification of where the person was residing prior to entering the facility.		
In an institution where he/she was staying for more than 30 days AND		A signed and dated statement from the institution of discharge within one week of the person receiving assistance from this agency stating the following:		

has no place else to go.	<input type="checkbox"/> Documentation of income <input type="checkbox"/> Documentation of efforts to obtain housing AND <input type="checkbox"/> A statement of why this person would be homeless without assistance from this agency.		
Is fleeing a domestic violence situation.	A written, signed and dated verification of the domestic violence situation from the possible client.		

VETERAN STATUS

In order to obtain Veteran Status, a person MUST meet at least one of the two conditions listed below.

1. Has this person served in the U.S. Armed Forces?
2. Was this person activated into active duty as a member of the National Guard or as a Reservist?

Yes or No

If this person answered "YES" to EITHER of the above two questions, please refer them to the VA Outreach team.

Has this person been given information necessary for meeting with the VA Outreach Team?

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Please list the date this information was given.

Referral information: The VA Outreach Team regularly visits the following agencies. Please check with one of these agencies for information regarding when the VA Outreach team is available. St. John 568-6758, Wayside 584-3711, Salvation Army 625-1170 and Haven House in Indiana 812-284-3373.

CHRONIC HOMELESSNESS

In order to be considered chronically homeless the person or family MUST meet both of the following.

1. This person is an unaccompanied individual (18 or older) with a disabling condition OR is a family with at least one adult member (18 or older) who has a disabling condition.
- AND**
2. This person/family has been continually homeless for at least 1 year OR has been on the streets or in an emergency shelter 4 or more times in the last 3 years.

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AGE DETERMINATION

1. Is this person age 55 or older?
 If yes, would this person be an appropriate referral for housing dedicated for seniors?
 If yes, has this possibility been explored?

SOAR SCREENING

All persons served by CoC and ESG funded projects are to be screened for SOAR eligibility. This screening is intended to assist shelter staff in making appropriate referrals to the SOAR program for further assessment.

1. Has this person been unable to work, or has he/she had a drastic decrease in the ability to work in the last year because of a medical or mental health issue?

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If yes, this person may be an appropriate SOAR referral. Please list the date this person was referred to a SOAR trained employee at your agency.

If your agency employs someone who has completed the SOAR training, please refer this client to that person. If not contact Janice Downs 772-8671 jdowns@fhclouisville.org (Agencies should make every effort to refer clients to their own employees who have been SOAR trained. If your agency does not have a SOAR trained employee, Janice Downs will be happy to give you the appropriate information regarding the next SOAR training.)

Client signature: _____ Date: _____

Intake worker's signature: _____ Date: _____

APPENDIX C



Board of Directors Demographics Form

Shelter/Agency: _____

Name	Board position	Occupation/Affiliation	Yrs on Bd

Board member demographics - (please complete each blank space that applies)

Gender: # Male: _____ # Female: _____

Race: # African-American: ____ #Asian-American: ____ #Hispanic: ____
White: ____ #Other: _____

Age: #20-29: ____ #30-39: ____ #40-49: ____ #50-59: ____ #60+: ____

Homeless experience? # yrs: _____

APPENDIX D

Definitions

Assessment: determining the causes, progression and prognosis of a program and the personalities and situations involved therein: the social work function of acquiring an understanding of a problem, its causes and what can be done to minimize or resolve it.

Client: customer, person living in a shelter, person being served.

Compliance: any agency/shelter that satisfies all QAS requirements will be considered "In Compliance" and receive a certificate indicating that status. If, because of affiliate policies, a shelter/agency cannot achieve full compliance, they will be given certification of "Limited Compliance" that notes the exception(s) and why full compliance was not achieved.

Confidentially: a principle of ethics whereby the agency, its staff and its volunteers may not disclose information about the client without the client's consent. This information may include the identification of the client, content of conversations with the client, professional opinions about the client, material from records, etc. Clients' records must be kept in secure and locked cabinets and computer records must be secure and accessible only by designated staff. In some jurisdictions, in very specific circumstances, social workers and other professionals may be compelled by law to reveal to designated authorities some information that would be relevant to legal judgment.

Documentation: written evidence that substantiates an event or action taken on behalf of a client that has occurred in the agency.

Follow up: designated agency staff and the client develop a plan to maintain contact in order to monitor and assist client's progress.

Homeless: HUD defines as a person who is:

1. an individual who lacks a fixed, regular, and adequate nighttime residence; and
2. an individual who has a primary nighttime residence that is -
 - A. a supervised publicly or privately operated shelter designed to provide temporary living accommodations (including welfare hotels, congregate shelters, and transitional housing for the mentally ill);
 - B. an institution that provides a temporary residence for individuals intended to be institutionalized; or
 - C. a public or private place not designed for, or ordinarily used as, a regular sleeping accommodation for human beings.

Record keeping: the process of putting in writing and keeping on file relevant information concerning administrative services and individual clients.

Referral: directing a client to an agency, resources or professional known to be able to provide a needed service. This process should include knowing what the available resources are; knowing what the client's needs are; facilitating the client's opportunity to partake of the service and following up to be certain the contact was fulfilled.

Screening: determining eligibility and appropriateness of services for clients by reviewing available information

Support services: services provided to facilitate the accomplishment of case management goals.