

SERVICE COORDINATOR MANAGEMENT REVIEW ITEMS

FILE REVIEW

Service Coordinators and other program staff must maintain the below information in files designated for this program.

1. **Confidential Client Files:** The Service Coordinator should maintain detailed notes regarding any assistance and services provided to the residents. To the extent possible, HUD encourages use of computers to develop and maintain these records. The files must contain the following information:
 - a. Intake form (including information on referrals to community agencies)
 - b. Case management plan
 - c. Quarterly monitoring plan and follow-up
 - d. Information and follow-up related to any reports, alleged or otherwise, of human or civil rights abuse, adult abuse of any type (i.e. mental, physical or financial), or violations of personal property or dignity.
 - e. Case resolution or status
 - f. Results of all monitoring and agency follow-up.
 - g. Notes on all meetings with client/family members
 - h. Disposition/termination of case.

_____ The Service Coordinator must keep the client files in a secured location and accessible ONLY to the Service Coordinator and to the management to the extent necessary. The Grantee must maintain confidentiality of information related to any individual, per the Privacy Act of 1974.

2. **Program Files:** The Service Coordinator or other administrative staff should keep detailed records which include any pertinent program activities and expenses.
 - a. _____ Program activity files may include the following:
 - Official grant documents
 - Information from HUD
 - Data on the numbers of residents served and the types of services arranged for and received by the residents
 - Information on other services, support groups, community advocacy, tenant organizations, and the like developed or aided by the Service Coordinator.
 - Service Coordinator/Aide Job descriptions
 - Notes of any relevant meetings or discussions
 - Description of training programs and documentation of training completed, such as certificates of passing/completing the course
 - Notes on travel and purpose for the trip
 - b. _____ Program expense records shall contain monthly breakdown of costs, including administrative expenses such as:

- Telephone calls
- Start-up activities
- Heating/Air conditioning
- Training
- Travel

These expense records shall also contain such information as

- Hours worked
- Copies of Pay statements
- Invoices for purchasing of goods or services

Is the service coordination function, based upon discussions with management, a review of client files, file notes, and review of the reports submitted by the project adequate? Review 10% of files noting the date of last contact and items listed above on an attached sheet. There should be a file established for each resident and an indication that attempted contact has been made at least twice per year.

TRAINING

_____ Has management certified annually that training is current? Has there been adequate training provide for the Service Coordinator? (36 hours initially with 12 continuing education hours each year). Files should list courses/seminars, subject matter, time (e.g. 6 hours), sponsoring organization, dates, and cost. Service Coordinators funded through this grant must meet all training requirements and follow all training guidelines as set forth in the Management Agent Handbook, 4381.5, REV-2, CHG-2, Chapter 8, Section 8.9, and HUD Notice 95-16.

MISCELLANEOUS

Is there a Service Coordinator description of file? Does the Service Coordinator have a copy?

Is the site paying the Service Coordinator for additional services? Is the Service Coordinator performing functions that are not allowable under HUD regulations?

Is the Service Coordinator working the correct amount of hours?

REPORTING

Do the files document changes and salary under the Service Coordinator program? The owner should be submitting monthly copies of LOCCS draw downs or copies of HUD-52670, with backup documentation of expenses attached.

Does the project report to the HUD office according to their grant agreement? (Annually if not extended. Every 6 months if contract has been extended with a new grant agreement and is receiving payments through LOCCS.) Is reporting complete?

If payment is received through the LOCCS system, the following reporting methods apply:

- A. **Financial Status Report:** In accordance with CFR Parts 84 (non-profits) and 85 (State and Local Governments), Grantees are required to provide the local HUD Field Office with a semi-annual financial status report (Form SF-269). The period shall cover the first and last six months of the 12-month grant period. However, HUD Field Office staff may specify another reporting period, if requested by Grantee, to better coincide with the Grantee's other financial procedures and reporting periods.

The second SF-269 of the year must contain a cumulative report for the prior 12-month period. The Grantee must also send with the Financial Status Report a narrative progress report of the program's performance during that reporting period. The LOCCS system will not release payments to Grantees with overdue financial status reports.

The Grantee must submit the report to the local HUD office no later than 30 days after the date of the specified reporting date. For example, if the one-year grant term is 1/15/00-1/14/01, then the Grantee must submit reports for the period 1/15-1/14. The first SF-269 of the 12-month period would be from 1/15-7/14 and the second from 7/15-1/14. The dates the reports would be due to the Field office would be 8/14 and 2/14.

- B. **Semi-Annual Performance Report:** The Grantee must also send with each Financial Status Report the Semi-annual Performance Report, HUD-92456. The Grantee shall submit this report on the same schedule as the Financial Status Report, as described in paragraph A above. The Semi-Annual Performance Report will allow HUD to monitor program activity and will assist the Grantee and the Service Coordinator in collecting and documenting significant data and program accomplishments.
- C. **Cumulative Financial/Performance Report:** At the termination of the grant, the Grantee must submit an SF-269, Financial Status Report, which summarizes program expenses for the entire grant term. The Grantee must also submit a narrative summary report, describing program performance and outcomes of the program. The Field office staff may release the final LOCCS grant payment only they have received a correct and complete report.