Overview of the CT DMHAS PATH Monitoring Process

On behalf of DMHAS, Housing Innovations conducts monitoring of PATH projects. Monitoring is intended to support compliance with PATH requirements and to identify areas of need for training and technical assistance. Projects are required to maintain compliance with all federal and state requirements, including those that are not monitored. Until further notice all monitoring will be conducted remotely via phone and/or video conference. Additional details are included below.

- Please be sure to carefully review the section below titled *Preparing for CT PATH Monitoring.*
- Please be sure to complete and return the enclosed *Document Request Form* by the indicated date.

The HI team appreciates your work to end homelessness in CT and looks forward to learning more about your project. Please contact the HI staff member who is leading your monitoring visit with any questions or concerns (lpareti@housinginnovations.us or shannon@housinginnovations.us). HI works to continuously improve the monitoring process, please let us know if you have any suggestions for how to make the process better.

Structure of the day:

9:00 – 10:00 am: Entrance Conference

10:00 am- 4:00 pm Participant Chart Review, Staff/Consumer Interviews

4:00 – 5:00 pm Exit Interview - the exit interview may be held earlier if the review is completed ahead of schedule.

Additional details are provided below:

- **Monitoring Guide:** The criteria used for monitoring are detailed in the Monitoring Guide.
- **Pre-Visit Review:** Enclosed is a Document Request Form. It includes a list of documents and other information that you are requested to submit in advance and a deadline and instructions for submission of those materials.
- **Entrance Conference**: HI staff will explain how the monitoring will be conducted, confirm charts and other necessary documents have been submitted, confirm times for staff/consumer interviews, answer any questions you have, and obtain other information needed to assess several of the monitoring criteria. You should determine who from your agency you would like to participate in the entrance conference.
- **Participant Chart Review:** Each site visit will include a review of current and discharged participant charts and other program documents.
- **Outreach Worker Interview:** A member of the monitoring team will interview an outreach worker. You may select the interviewee and HI will schedule the interview time in advance.
- **Client Interview:** A member of the monitoring team will interview a client if possible. Interviews can be conducted by phone or zoom. Participation is entirely voluntary for clients. If you are able to identify a willing client, you may schedule the interview at any time between

10:30 am and 3:30pm. You can notify HI of the time and how best to reach the client on the day of your monitoring.

- **Exit Conference:** HI staff will be available to conduct an exit interview with the program director and/or other administrators and staff at the conclusion of the visit. During the exit interview, HI staff will provide preliminary feedback on the visit and request any clarifications needed. You should determine who from your agency you would like to participate in the exit conference.
- **Report:** Following the site visit, you will receive a written report detailing the results of the review.

Preparing for CT PATH Monitoring

Please carefully review the information provided below. It outlines the steps you will need to take in advance of your visit. To help you prepare for the visit, guidance on documents that PATH projects are required to maintain for participants and a checklist of required policies and other documents is available here.

- **Submit Requested Documents:** Enclosed is a Document Request form. Please be sure to complete that form and submit it along with all listed documents by the indicated deadline. Please coordinate, as necessary, among any subrecipients to obtain all requested information from each agency being monitored. Which agencies are being monitored was indicated in the notification you received from HI.
- **Ensure Necessary Participant Documents will be accessible:** Each site visit will include a review of current and discharged participant and other program documents. Please coordinate as necessary among any subrecipients to ensure that HI will have electronic access to all requested client records on the day of your monitoring visit. Which agencies are being monitored was indicated in the notification you received. For remote monitoring, HI will provide you with a list of specific documents that will be reviewed at least 2 business days in advance of your monitoring date. Your agency will select the method by which these selected documents will be reviewed. This request will include:
    - records pertaining to approximately 5 participants currently enrolled in and/or recently discharged from the program, including at least one participant discharged in the past 12 months and one participant admitted in the past 12 months.
    - records pertaining to any grievances and/or appeals submitted verbally or in writing from program participants in the CoC project being monitored during the past 12 months.
    - records pertaining to any reasonable accommodation requests from PATH program participants
    - HI may request additional charts/records as needed.

- **Indicate your preferred chart review method for remote visits:** Please complete the related section of the *Document Request* form. HI will send you the list of participant chart documents that you will need to provide at least 2 business days prior to your monitoring date.
  - Your agency can opt to provide the HI monitoring team with time-limited, remote access to your electronic client records either via your agency's electronic case management system or HMIS.
    - If you opt to provide HI with access to your agency(ies) electronic health record system, please be sure to include any necessary forms and/or agreements with your upload to Dropbox.
    - If you opt to upload documents to HMIS, as soon as possible, each agency participating in monitoring must submit an HMIS Helpdesk request authorizing View Only access to client records for each HI team member participating in your visit. Your request should include:
      - the name and HMIS project ID for the project being monitored
      - the names of all HI team members participating in the visit
      - the dates for which you are authorizing the access -HI strongly encourages authorization to begin at least 2 business days prior to the monitoring date and to extend for at least 5 business days after the monitoring date. This enables us to test access in advance and for you to upload and us to review, after the visit, any documents that may have been missed in your initial upload.
      - Please copy the HI team on the Helpdesk request so that we can follow up as necessary to ensure access is granted prior to the monitoring date.

- **Assign a Staff Point of Contact:** During the visit, HI staff may have questions or requests for additional documents. It would be helpful if a staff person from your project could be available by phone on the day of the visit to respond to inquiries.

- **Document Review pre-visit:** Enclosed is a list of documents and other information that we request be submitted in advance of the monitoring visit. We have created a Dropbox folder for you, and you will receive an invitation by email to share that folder. Please upload the attached completed form along with copies of all requested documents to your Dropbox folder (see attached instructions). To enable review prior to the visit, **please submit materials no later than the deadline indicated on the Document Request form.** Please contact the HI staff member who is leading your monitoring visit (lpareti@housinginnovations.us or shannon@housinginnovations.us) if you have questions about using Dropbox.