<u>Client File Documentation Checklist</u>

Project Reinvest: Financial Capability

Client Name: ___________________________

Date Tier 1A Counseling/Coaching Completed: _____________________

The following list outlines the Tier 1A Counseling/Coaching activities and the requirements for documentation that Grantees (and, if applicable, Sub-grantees, Branches, Affiliates, and CCEs) should maintain in each client's file for each of the Tier 1A counseling/coaching services.

TIER 1A Counseling/Coaching

✓	Item/Activity	Required Documentation
	Intake	Documentation of the completed client Intake including key client information such as name, address, contact information and basic demographic information.
	Authorization Form	A copy of the signed authorization form.
	Privacy Policy	Documentation of the client's receipt of the privacy statement.
	Assessment	Documentation of the completed Assessment of the client's needs and goals. This may be a separate document OR Grantees may combine an Assessment and the Action Plan into one document, if that approach is aligned with their existing Financial Capability program design.
	Financial Well-Being Measurement	Completed CFPB Financial Well-Being Questionnaire (*pre-counseling/coaching survey*).
	Credit Report	A copy of the client's credit report that has been pulled within the last 60 days. The counselor/coach may pull the credit report, or the client may bring in a recent copy of the credit report.
	Budget	Documentation of client's current budget, clearly indicating the client for whom the budget was created.
	Action Plan	Documentation of an Action Plan that clearly states the client's goal(s), timeline, and action steps the client must take to help them achieve the goal(s). The Action Plan must also indicate the results of the Assessment made by the counselor/coach.
	Financial Education	Documentation of the financial education provided, to include the topics, format and date provided. Notes from the Client Management System is acceptable.
	Referrals	If referrals were provided to the client, a copy of the referral form provided to the client, or documentation of the referral(s) provided to the client.
	Follow Up	Documentation of follow-up contact with the client at least once following the Tier 1A session. This follow-up can be an email, phone call, face-to-face meeting or letter to client. Documentation must include, at minimum, date and method of follow-up contact and response (or non-response, if applicable) from client. Documentation of this follow-up includes noting the follow-up in the client management system file notes, and retaining copies of any letters or emails sent to the client, including a copy of the metered envelope.

Client File Documentation Checklist

Project Reinvest: Financial Capability

Client Name: ___________________________

Date Tier 1B Counseling/Coaching Completed: ____________________

The following list outlines the Tier 1B Counseling/Coaching activities and the requirements for documentation that Grantees (and, if applicable, Sub-grantees, Branches, Affiliates, and CCEs) should maintain in each client's file for each of the Tier 1B counseling/coaching services.

TIER 1B Counseling/Coaching

✓	Item/Activity	Required Documentation
	Authorization Form*	A copy of the signed authorization form.
	Privacy Policy*	Documentation of the client's receipt of the privacy statement.
	Financial Well-Being Measurement	Completed CFPB Financial Well-Being Questionnaire (*post-counseling/coaching survey*).
	Updated Credit Report	A copy of the client's subsequent/updated report (from the same credit bureau as the initial report, if the counselor/coach pulled it), if the client established working on credit as one of their goals in their Tier 1A Action Plan. The counselor/coach may pull the credit report, or the client may bring in a recent copy of the credit report that was pulled subsequent to the credit report provided in the Tier 1A session.
	Updated Budget	Documentation of client's updated budget, clearly indicating the client for whom the budget was created.
	Updated Action Plan	Documentation of an updated Action Plan that clearly states the progress the client has taken since the initial Action Plan was developed, as well as any new goals, new timelines and action steps the client must take to further help them achieve the existing or new goal(s).
	Referrals	If referrals were provided to the client, a copy of the referral form provided to the client, or documentation of the referral(s) provided to the client.
	Follow Up	Documentation of follow-up contact with the client at least once following the Tier 1B session. This follow-up can be an email, phone call, face-to-face meeting or letter to client. Documentation must include, at minimum, date and method of follow-up contact and response (or non-response, if applicable) from client. Documentation of this follow-up includes noting the follow-up in the client management system file notes, and retaining copies of any letters or emails sent to the client, including a copy of the metered envelope.

**Note: The signed Authorization Form and Privacy Policy must be collected at the Tier 1A counseling/coaching session, however, if a Tier 1B file is selected for compliance testing, both the Authorization Form and Privacy Policy will be requested. Grantees, Sub-grantees, Branches, Affiliates, and/or CCEs, etc. can provide the Authorization Form and Privacy Policy that was completed during the Tier 1A counseling/coaching session.*