

Financial Capability Program Tracking and Reporting in CounselorMax® for NeighborWorks Organizations – April 2013

Overview

As of December, 2012 CounselorMax® can collect and report all of the data and reporting requirements for the Financial Capability Program (herein “FC”). For more information on the Financial Capability Program in general go to: <http://www.nw.org/network/neighborworksprogs/financialfitness/default.asp>

This document details the steps to take to:

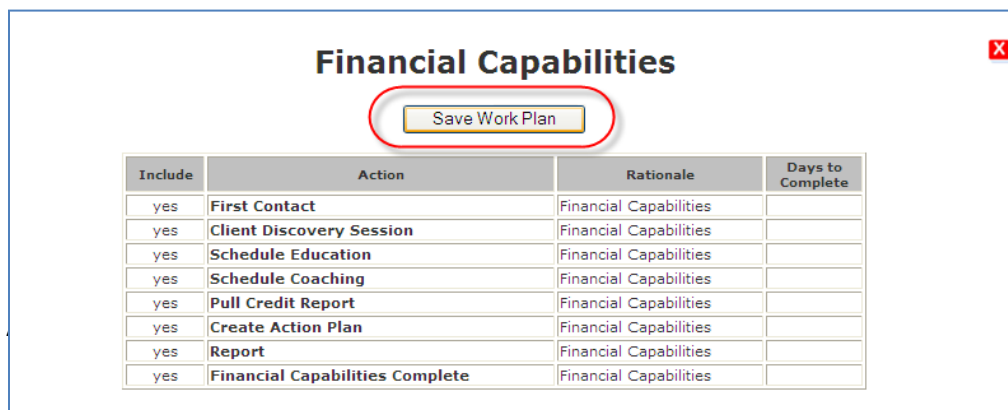
- Collect the required data points
- Report Financial Capability activities to NeighborWorks

This functionality will have relevance only to NeighborWorks Organizations who have agreed to participate in the Financial Capability Program so we plan to turn this functionality on only for organizations who agree to participate. Once an organization has agreed to participate, we will offer training via webex for the CounselorMax usage before turning on the functionality for each group.

Most of the data to be reported already exists in CounselorMax and is collected as a rule through the “Outreach” and “Intake” process.

New data point/functionality features are as follows:

- You may now add a “Financial Capability” Service type (Case) although it is important to note that Financial Capability activities may occur in tandem with any service type such as Pre Purchase or Education. Along the same line, you may start with a Financial Capability service type and create a new case (i.e. Pre Purchase) which will close the Financial Capability case but the activities may continue in tandem with the new case, that is, the GPS will remain open until you finalize it.
- Financial Capability GPS is a new GPS which becomes available once a case (any case) is created for a client and you save the FC GPS when prompted:



The screenshot displays a window titled "Financial Capabilities" with a red 'X' icon in the top right corner. A "Save Work Plan" button is highlighted with a red oval. Below the button is a table with the following data:

Include	Action	Rationale	Days to Complete
yes	First Contact	Financial Capabilities	
yes	Client Discovery Session	Financial Capabilities	
yes	Schedule Education	Financial Capabilities	
yes	Schedule Coaching	Financial Capabilities	
yes	Pull Credit Report	Financial Capabilities	
yes	Create Action Plan	Financial Capabilities	
yes	Report	Financial Capabilities	
yes	Financial Capabilities Complete	Financial Capabilities	

- If the client comes in and only Financial Capabilities are offered, then the case type can be Financial Capabilities, but as noted above these services may begin with or continue with any service type. The GPS controls the ability to report the Financial Capabilities activities to NWA but does not collect any of the data, simply because there are no additional data points required to be reported for Financial Capabilities beyond what has already been captured.
- In order to capture the coaching time attributed to Financial Capabilities there is a new classification available for calendar and client log entries called “Financial Capabilities”. Any time or appointments tagged in this manner will be reported to NWA as time spent on Financial Capability coaching:

NFMC Case *GF L1** **Wednesday, December 12, 2012**

Add Event

Type/Fee	Staff	Description	Location	Start (Date/Time)	End (Date/Time)
Appt Appt Call Class Financial Capabilities Intake Person policy	CAH CDB			12/12/2011 00 AM	12/12/2011 00 AM

View All Staffs' Events for This Day

- New selection on the reporting screen is Financial Capabilities:

Global Mode



Custom Reports

HUD-9902, NFMC, NW Quarterly, and Other Reports

Select One:

9902 Reporting NFMC Report
 NW Quarterly Report CNYCN Report **Other Reports**

Financial Capabilities

Start Month: Apr Year: 2013
 End Month: Apr Year: 2013

All Case Statuses Download Process

[FPP Service Assistance Report](#)
[CDBG Report](#)

All of the data points used for the reporting are listed in the table below and must be collected for a successful report to occur.

Data Point
Client ID
First name
Last name
Service Start Date
Date of Birth
Gender
Race
Ethnicity: Latino
Gross Household Income (estimated)
Credit Score Prior to Coaching and/or Education Completed
Current residence
Address #
Street Name
Apt #
City
State
Zip
Total hours of financial capability coaching (new)
Total hours of financial capability education
Service Completion Date

For detailed information on each of these data points and any rules regarding reporting them to NeighborWorks® refer to the CounselorMax® data dictionary under the “Job Aides” section of the CounselorMax® Resources menu.

To have the Financial Capability Tracking Turned on in CounselorMax®

Because Financial Capability tracking **is not** turned on by default, you must request that this feature be turned on for your organization. It will only be turned on for NeighborWorks Organizations participating in the Financial Capability Program.

If you would like to use CounselorMax® to track and report your FC activity, either call the CounselorMax® Help Desk (866-720-1807) or email (counselormaxsupport@nw.org), and request that it be enabled for your organization. Please allow two business days for activation.

As mentioned earlier, webex training will be offered and required before the feature is turned on.

Collecting the required Data

Collecting the required data points is a simple two step process:

1. Entering the data in the appropriate forms;
2. Completing the new FC GPS to signal to the system that the Financial Capability activity is reportable and/or completed.

Step 1: Entering the Data

Most of the data points are collected during a standard CounselorMax® Client creation process (Outreach Form) and case creation process (Intake Form).

The following details where and at what step in the process you will be entering the required data:

Data Point	Step to collect	Note
ClientID	Complete the Outreach form for the client	
First name	Complete the Outreach form for the client	
Last name	Complete the Outreach form for the client	
Service Start Date	Earliest “completed” date in the Financial Capability GPS	This date should not be prior to the case creation date, but it may be.
Date of Birth	Complete the Intake form for the case	
Gender	Complete the Intake form for the case	
Race	Complete the Intake form for the case	
Ethnicity: Latino	Complete the Intake form for the case	
Gross Household Income (estimated)	Complete the Intake form for the case	
Credit Score Prior to Coaching and/or Education Completed	Fill out the “Credit” form manually or via a soft pull from Credco via the “Credit” form or via the “Credit” link of the FC GPS	If you do not enter a score the system will export “no score” as the value for this data point.
Current residence	Complete the Intake form for the case	
Address #	Complete the Outreach form for the client	
Street Name	Complete the Outreach form for the client	
Apt #	Complete the Outreach form for the client	
City	Complete the Outreach form for the client	

Data Point	Step to collect	Note
State	Complete the Outreach form for the client	
Zip	Complete the Outreach form for the client	
Total hours of financial capability coaching	Sum of all time (rounded to nearest hour) of all Calendar and Client Log entries marked as "Financial Capabilities"	Note that these hours will not be reported to NeighborWorks® or HUD as standard counseling hours, as FC services are not HUD reportable activity.
Total hours of financial capability education	Sum of all Financial Literacy education hours entered in the standard education module (rounded to the nearest hour) attended by the client from the FC Service Start Date to the GPS "Report" date. Any education set up in the system may be reported as Financial Capabilities education by linking the education created in the system to the HUD resolution type of "Financial Capability Workshop"	Note that these hours will be reported to NeighborWorks® in the Quarterly Summary report and to HUD on the 9902 report.
Service Completion Date	Last (greatest) date entered in the FC GPS	Service Completion is the point in time when your organization has completed the service and does not indicate that the client is now financially capable.

Step 2: Completing the new FC GPS to signal to the system that the FC activity is reportable and or completed:

You do not need a FC GPS to collect all of the required data points but you do need the FC GPS to report the service to NWA. You must create a GPS and complete the required action items in order to report a case to NeighborWorks® in the Financial Capability report.

It's important to note that a client must have a case before you gain access to the Financial Capability GPS in CounselorMax®. The case does not have to be a Financial Capability case (it can be any service type), although if the only service being provided is financial capabilities that service type may be used.

If FC features are turned on for your organization, and you have created a case for the client, you will see the following check box in the "Calendar" and the "Counseling" tabs:

Calendar Outreach Intake Education Counseling Loan Resources Reporting

MortgModified **Rev10.5
1 Main Street
Cambridge, MA 02138

Client #: 11861
Case #: 6953(6/26/2012)

HUD NUMBER:
Requires an 'Open Case' and 'Appointment'
in Calendar That Has Already Passed

English
Mortgage Default/Early
Delinquency
In-Process (AMI % = 77) Counselor: n/a

Mailing Label
Reminders

Reminders						
Subject	Action	Details	Days	Edit	Delete	Done
Work Plan Phone	Intake - review privacy policy / sign authorization (MortgModified **Rev10.5)		-127	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Work Plan Phone	Intake - collect subject property info (MortgModified **Rev10.5)		-127	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Work Plan Phone	Budget Creation - monthly worksheet (MortgModified **Rev10.5)		-127	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Work Plan Phone	Budget Validation - review financial information (MortgModified **Rev10.5)		-127	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Client Schedule: (show)
Client History: (show)
Client Log: (show)
Financial Capabilities NEW

And also in the Counseling Tab:

Calendar Outreach Intake Education **Counseling** Loan Resources Reporting

MortgModified **Rev10.5

Guidance & Planning System (GPS)

Case Profile

Financial Progress NEW

Financial Capabilities NEW

Foreclosure Prevention Program

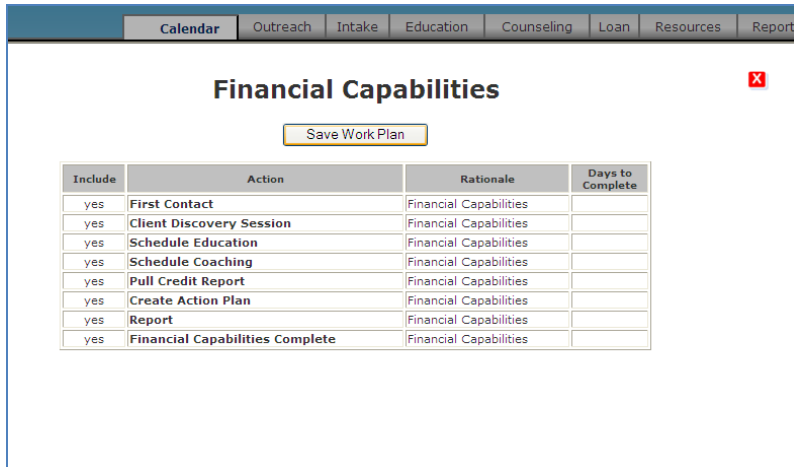
Client Log

Budget

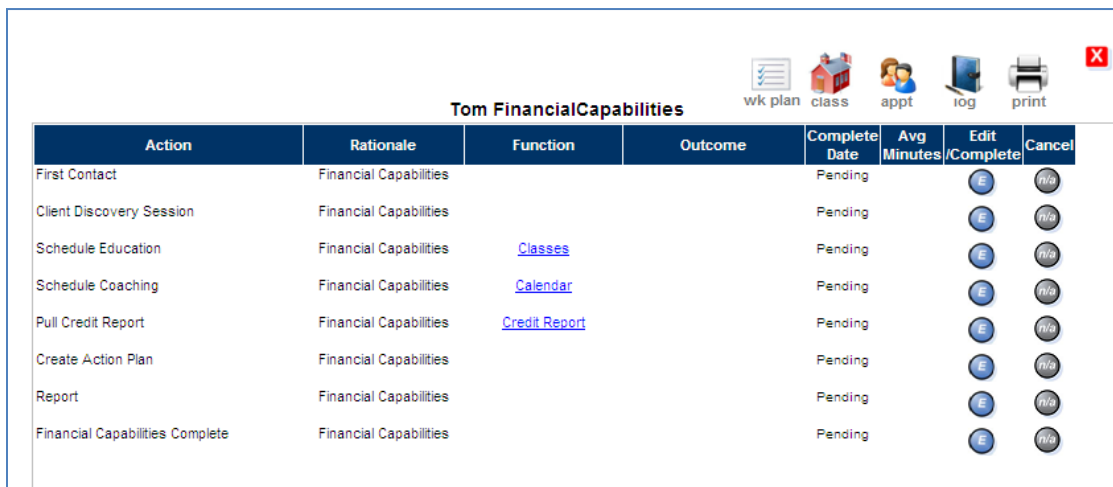
Note: do not confuse “Financial Progress” with “Financial Capabilities” as they’re two distinct features.

Creating a new FC GPS

For cases that do not currently have an active FC GPS, when you click on the “Financial Capabilities” check box you will get the following pop-up prompting you to save a new FC GPS for the client:



When this pop-up screen is presented, click on the “Save Work Plan” button to save a new FC GPS for this client. You will then see the new FC GPS:



Note that it has eight action items that correspond to the standard service delivery model for Financial Capability You must complete all of the following to be able to report a case to NeighborWorks® on the Financial Capability report:

1. First Contact
2. Client Discovery session
3. Schedule Coaching: you are not required to schedule FC Coaching but you must complete the GPS action item – “NA” is a completion option if they do not receive coaching.
4. Schedule Education: (you don’t actually need to schedule the client to FC education but you must complete the GPS action item – “NA” is a completion option if they do not receive education.
5. Pull Credit Report– “No score” is an acceptable “outcome” if you pull a credit report for the client and they do not have credit.
6. Create Action plan

7. Report: completing this action triggers to the system that the Financial Capabilities services for this client should be included in the FC report.
8. Financial Capabilities Complete - You do not need to complete the “Financial Capabilities Complete” action item to report the case to NeighborWorks® (that occurs in step 7). However, to close the Financial Capabilities service and the GPS, you will need to complete this action item.

Once you have completed the required action items, you will be able to report the Financial Capabilities services for this client to NeighborWorks®.

Reporting Rules and Process

In order for an FC client to show up on the Financial Capabilities Audit report, the following must be true:

1. The client must have a FC GPS.
2. The client must have an active case at the time the FC GPS is created. This is necessary in order to have accurate and current demographics for the case.
3. The client must have the “Ready to report” action item completed.
4. The “completed” date for the “Ready to report” action item must fall within the reporting date range.
5. The “Create Client Action Plan” action item in the FC GPS must be completed. If you do not complete this action item you will receive the following red flag exception: “Client Action Plan start date required.”

Financial Capabilities Audit Report: Candidates for Download								
For customer receiving Financial Capability service between 1/1/2013 - 1/31/2013								
Action	Case Id	Last Name	First Name	Ready To Report	Actions Left	Counselor	Exceptions	In Download?
Modify	1963882	***GF HECM	Test	1/1/2013	6 actions remaining	Gregory Frazer	<ul style="list-style-type: none"> ● Client Action Plan start date required ● Financial Capability Coaching - not provided ● Financial Capability Classes - not provided 	no

6. The “Pull Credit Report” action item must be completed. You can select any of the available completion options including “not pulled”, “no score” or “NA”. In most cases you will want to pull a score and enter it. If you do not complete this step you’ll get the following exception message “Credit Score prior to coaching or Edu missing”.

Financial Capabilities Audit Report: Candidates for Download

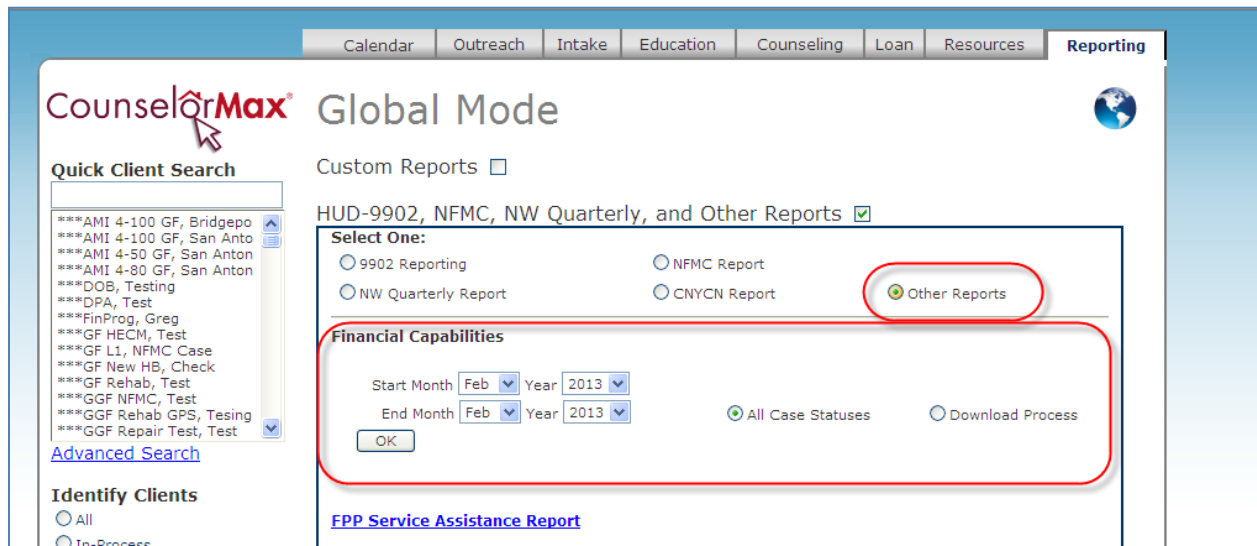
For customer receiving Financial Capability service between 1/1/2013 - 1/31/2013

Action	Case Id	Last Name	First Name	Ready To Report	Actions Left	Counselor	Exceptions	In Download?
Modify	1963882	***GF HECM	Test	1/1/2013	6 actions remaining	Gregory Frazer	<ul style="list-style-type: none"> ● Credit Score Prior to Coaching or Edu. Missing ● Financial Capability Coaching - not provided ● Financial Capability Classes - not provided 	no

7. If you do not enter FC Coaching counseling events in the client’s calendar or log you will get a yellow flag exception indicating that “Financial Capability Coaching – not provided”. This will not prevent the case from being exported. To clear the flag you must enter an event in the client’s calendar or log with a type of “Financial Capabilities” and the event date must fall between the case creation date and the “Ready to Report” date.
8. If you do not enroll and mark the client as having attended any financial capability eligible classes (same as HUD financial education classes) you will get a yellow flag exception stating that “Financial Capability Classes –not provided”. This will not prevent the case from being exported. To clear the flag you must enter the client as enrolled and mark the client as having attended a “Financial Capabilities” eligible workshop (HUD financial Literacy workshop type) and the class date must fall between the case creation date and the “Ready to Report” date.

If these conditions are met the case will appear in the “All Case Status Report.”

To run the All Case Status report, in Global Mode go to the “Reporting” tab and select the “Other Reports” and then the “Financial Capabilities” radio button:



This will expose the FC reporting interface. Select the date range (by month) you wish to report for. The range can be one or multiple sequential months:

Global Mode



Custom Reports

HUD-9902, NFMC, NW Quarterly, and Other Reports

Select One:

9902 Reporting NFMC Report
 NW Quarterly Report CNYCN Report Other Reports

Financial Capabilities

Start Month: Year:
 End Month: Year:

All Case Statuses Download Process

[FPP Service Ass](#) [Report](#)
[CDBG Report](#)

Apr
 May
 Jun
 Jul
 Aug
 Sep
 Oct
 Nov
 Dec
 Jan
Feb
 Mar
 Apr

Once you select the month(s) to run the report for, click on the “OK” button to generate the audit report on screen.

Financial Capabilities Audit Report: Candidates for Download

For customer receiving Financial Capability service between 10/1/2012 - 11/30/2012

Action	Case Id	Last Name	First Name	Ready To Report	Actions Left	Counselor	Exceptions	In Download?
Modify	6954	**Rev10.5	BroughtMrgtCurrent	10/12/2012	8 completed	Greg Pastor	none	yes
Modify	7043	FinancialCapabilities	Tom	11/3/2012	5 actions remaining		● Credit Score Prior to Coaching and/or Education Completed ● Financial Capability Coaching - not provided ● Financial Capability Classes - not provided	no
Modify	7031	REV. 10.9	Archive Test	10/29/2012	8 completed		● Financial Capability Coaching - not provided ● Financial Capability Classes - not provided	yes
Modify	7040	Rev. 10.9	DuplicateWorkplan	11/1/2012	8 completed		● Financial Capability Coaching - not provided ● Financial Capability Classes - not provided	yes
Modify	7024	REV. 10.9	FC Archive CpltDateRemove	10/25/2012	1 actions remaining		● Financial Capability Coaching - not provided ● Financial Capability Classes - not provided	yes
Modify	7036	REV. 10.9	FC First Credit Score	10/31/2012	8 completed		● Financial Capability Coaching - not provided ● Financial Capability Classes - not provided	yes
Modify	7021	REV. 10.9	FC JDB	10/25/2012	8 completed		● Financial Capability Classes - not provided	yes
Modify	7030	REV. 10.9	FC Partially Complete	10/29/2012	1 actions remaining		● Financial Capability Coaching - not provided ● Financial Capability Classes - not provided	yes
Modify	7025	REV. 10.9	FC to HP	10/25/2012	1 actions remaining		● Financial Capability Coaching - not provided ● Financial Capability Classes - not provided	yes
Modify	7027	REV. 10.9	FC w HP closed	10/25/2012	1 actions remaining		● Financial Capability Coaching - not provided ● Financial Capability Classes - not provided	yes
Modify	7032	Rev. 10.9	NW-HUD-FC	10/30/2012	1 actions remaining		● Financial Capability Classes - not provided	yes
Modify	7033	Rev. 10.9	NW-HUD-NFMC-FC	10/30/2012	1 actions remaining		● Financial Capability Coaching - not provided ● Financial Capability Classes - not provided	yes
Modify	6398	test	Test	10/31/2012	6 actions remaining		● Client Action Plan start date required ● Credit Score Prior to Coaching and/or Education Completed ● Financial Capability Coaching - not provided ● Financial Capability Classes - not provided	no

Cases with exceptions (meet reporting requirements based on inclusion in the audit report but are missing critical data or violate a reporting rule) will be listed as “No” in the “In download?” column with

the appropriate exception(s). You must address the exceptions in order to get the case to be included in the download. All cases that meet the reporting requirements will be listed as “In Download?” “yes”.

Once you have reviewed the audit report and are ready to download reportable cases to upload them to the ORS system (NeighborWorks® reporting system Financial Capability survey), click on the “Download Process: radio button and click “OK”.

Global Mode



Custom Reports

HUD-9902, NFMC, NW Quarterly, and Other Reports

Select One:

9902 Reporting NFMC Report
 NW Quarterly Report CNYCN Report Other Reports

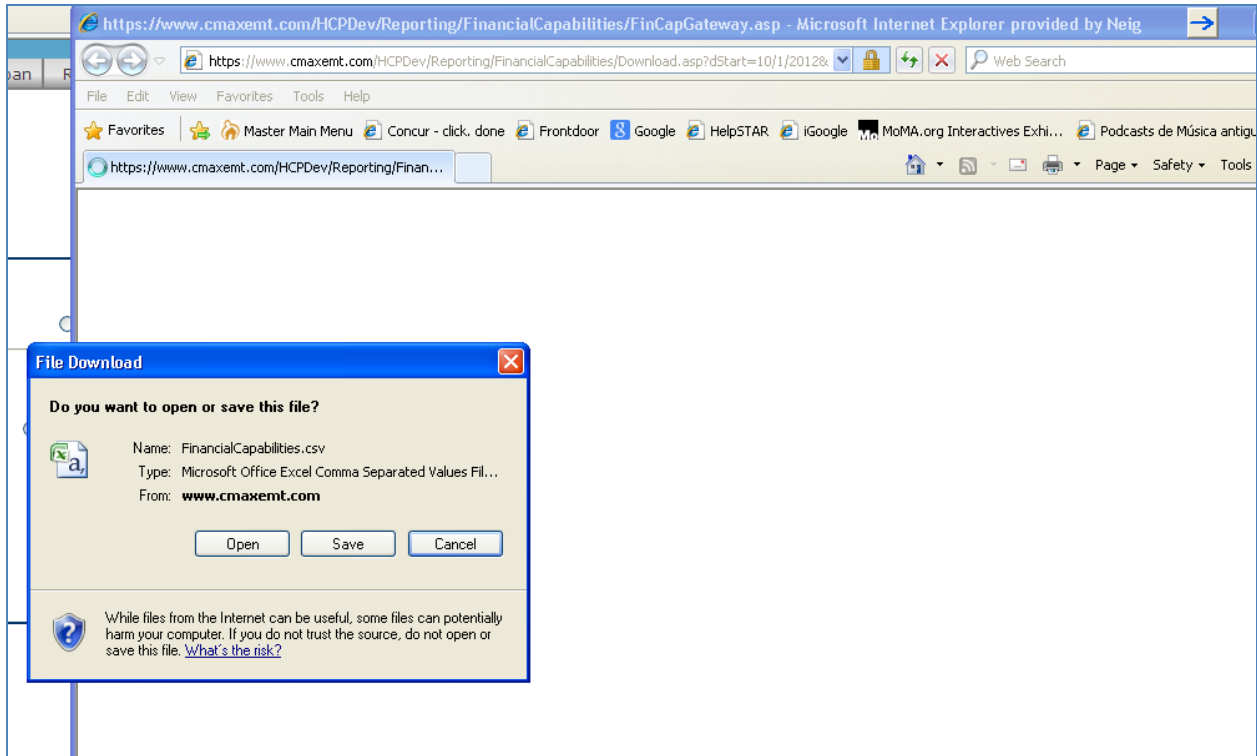
Financial Capabilities

Start Month: Year:
End Month: Year:

All Case Statuses Download Process

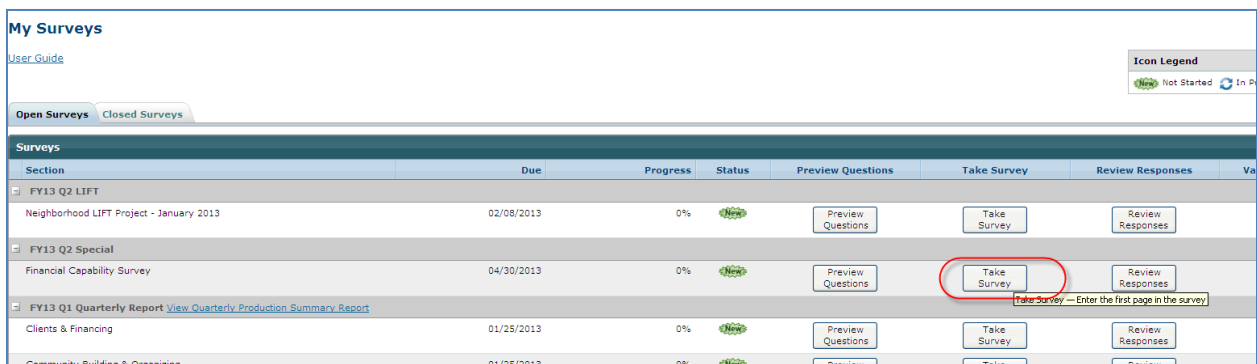
[FPP Service Assistance Report](#)
[CDBG Report](#)

The report may take a few seconds to run and you will see a pop-up asking you to open or save the export file. Click “Open” to open it and view the file, or save, to save it to a directory.



The export file is .csv file. This is a common data file that can be read in MS Excel and other programs. You must save the file as an Excel 97-2003 file or other format or the NeighborWorks® ORS system will not be able to read it and upload it. You should click on “Save as” and select the Excel 97-2003 format to your desktop or other folder, prior to uploading.

To upload the file to the NeighborWorks® ORS system, log into the NeighborWorks® reporting site and click on the “Take Survey” button for the Financial Capability Survey.



Where prompted, upload the saved export file to the ORS.

Reporting multiple FC services to the same client

You can create more than one FC GPS per client and report the client more than once. This is appropriate if you provide FC services to the client more than once. However, you can only report one FC service per client at a time. This means that you cannot have more than one FC GPS open at the same time.

Once you finalize an FC service by resolving the case by completing the “Financial Capabilities Complete” GPS action item, the GPS will be archived. If a client has an archived FC GPS you will see the following when clicking on the “Financial Capabilities” check box:

Financial Capabilities ✖

Archive Test REV. 10.9

[View Last Closed Plan](#)
Downloaded On: 10/29/2012

This case has been closed. To create a new Work plan, create a new case.

You can click on the “View Las Closed Plan” to view the plan.

If the case has already been reported to NeighborWorks® and you are providing FC services to the client for a subsequent time, you should follow the standard case creation process to create a new case and GPS for the client and report them anew.