



HMIS Lead Monitoring

Tuesday, April 16 2019

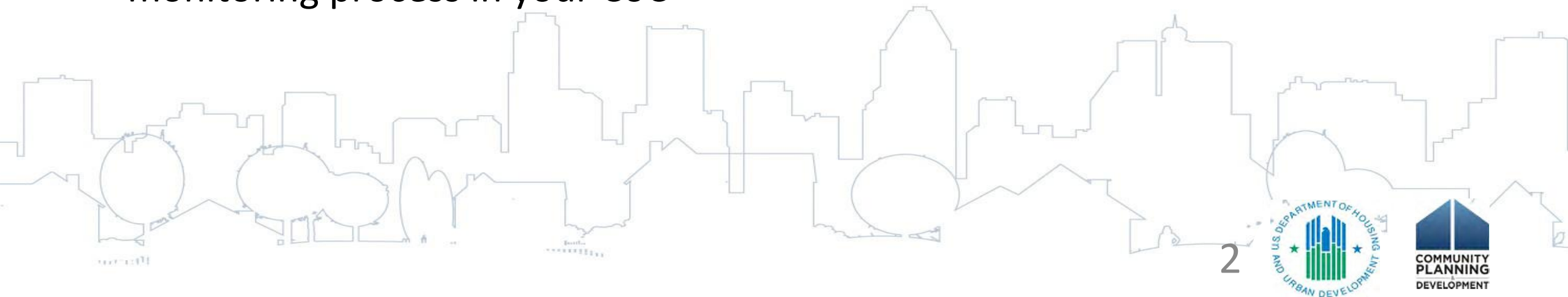
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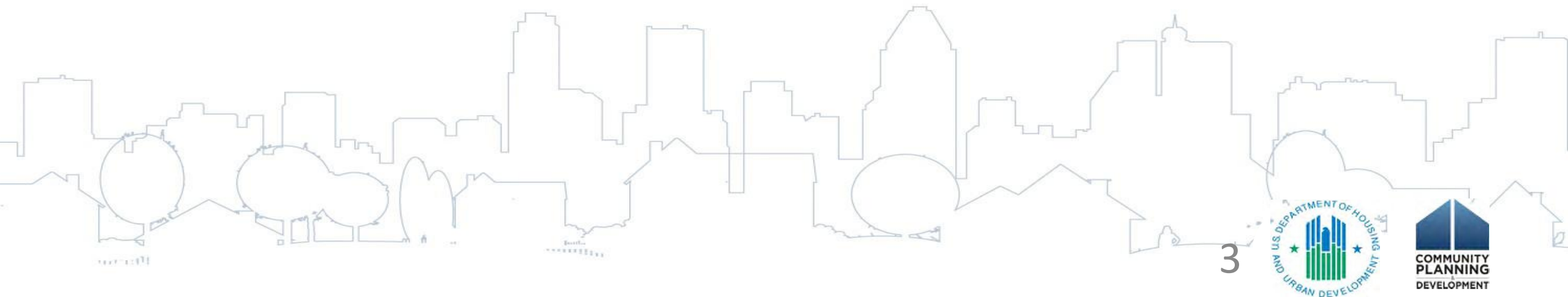
Learning Objectives

- Learn about the importance of a strategic monitoring and continuous quality improvement process to increase HMIS Lead capacity
- Understand the need for clarified roles and responsibilities
- Develop measureable outputs and outcomes to assess the performance of the CoC's HMIS Lead agency
- Understand approaches and process steps to implementing an HMIS Lead monitoring process in your CoC



Requirements of the HMIS Lead

- Responsible for managing the HMIS for the CoC's geographic area, in accordance with the CoC Program Interim Rule and any HMIS requirements prescribed by HUD
 - Additional responsibilities assigned to the HMIS Lead by the CoC
 - Additional responsibilities identified in annual NOFAs

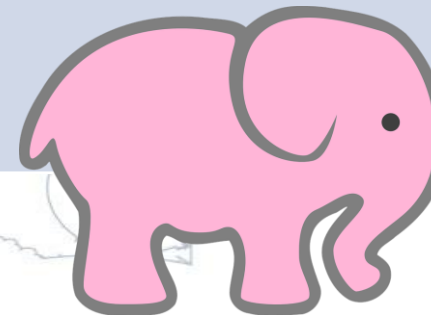


Requirements of the HMIS Lead

- In practice, HMIS Leads needs to be capable of providing the following activities or services to the CoC, HMIS end users, and other HMIS stakeholders:
 - Policy and Planning
 - System Administration
 - Reporting and Analysis
 - Monitoring and Evaluation
 - Training and Technical Support
 - Coordinated Entry Support
 - Communication and Capacity Building

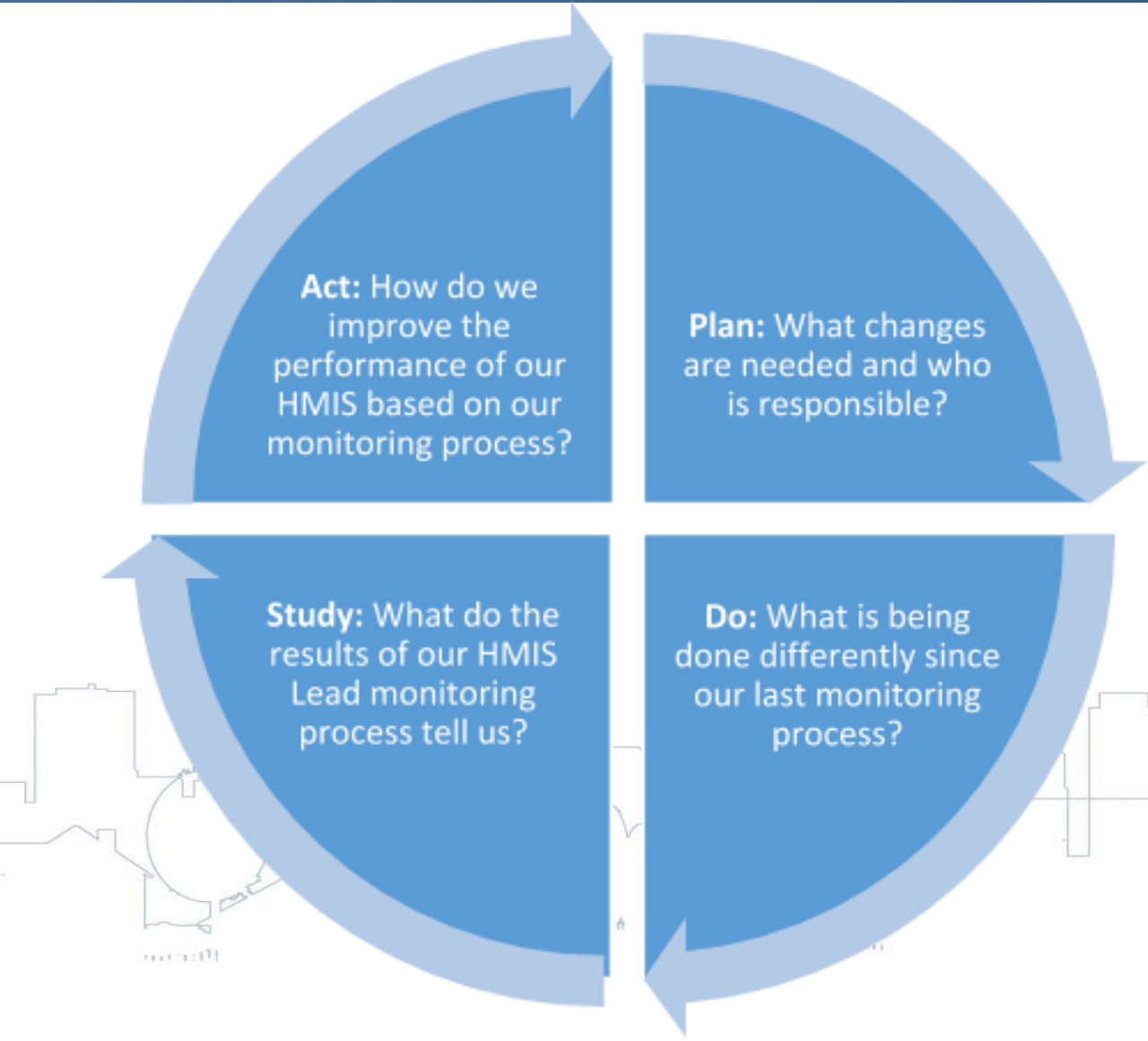
Shared Responsibilities

It's the CoC Leadership's Elephant	It's the HMIS Lead's Elephant	It's the Vendor's Elephant	It's HUD's Elephant
<p>§578.7(b) Designating and Operating an HMIS</p> <p>The Continuum of Care must:</p> <p>(1) Designate a single Homeless Management Information System (HMIS)...</p> <p>(2) Designate an eligible applicant to manage the Continuum's HMIS, which will be known as the HMIS Lead;</p> <p>Yes, and...</p>	<p>2 CFR 200 §200.318</p> <p>(b) [HMIS Lead] must maintain oversight to ensure that contractors perform in accordance with the terms, conditions, and specifications of their contracts or purchase orders.</p> <p>(h) [HMIS Lead] must award contracts only to responsible contractors possessing the ability to perform successfully under the terms and conditions of a proposed procurement.</p> <p>Yes, and...</p>	<p>The Contract with Our Vendor Says...</p> <p>...that the software will be compliant with all HUD-defined HMIS requirements.</p> <p>Yes, and must be more specific than this in the eventual contract because...</p>	<p>HUD HMIS Requirements</p> <ul style="list-style-type: none"> • Data collection (some) • Reporting (some) • Security and privacy (some) <p>HUD makes some rules for some elephant behavior – but it is not HUD's elephant (because there is no contract between HUD and the HMIS Vendors).</p>



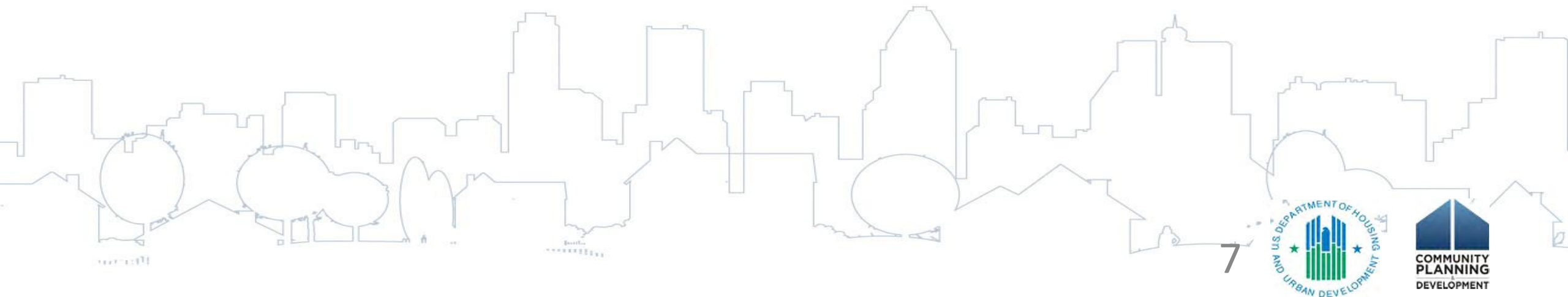
The Purpose of Monitoring

- The monitoring process should be an ongoing process that reinforces the knowledge gained through monitoring with new opportunities for funding, training, capacity building, and strategic planning



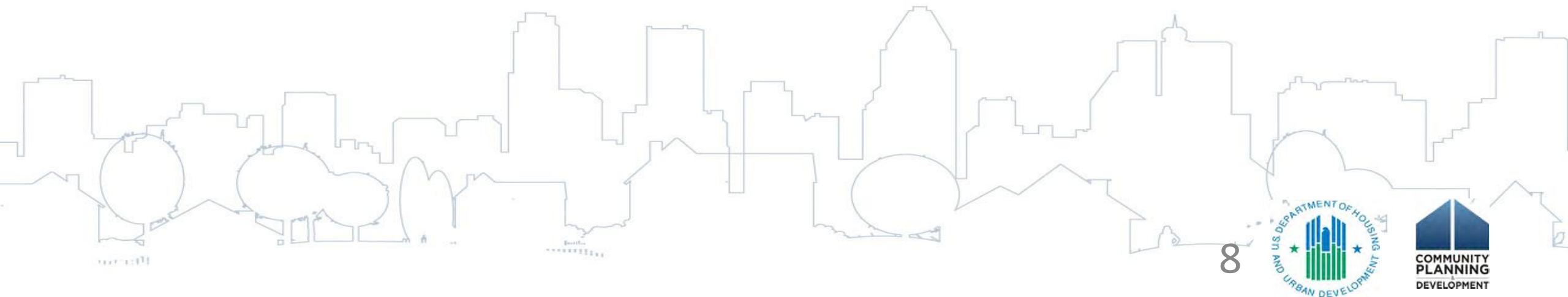
The Purpose of Monitoring

- Monitoring should not be simply an annual checklist for compliance
- Think of the monitoring process as being most effective when engaged in as a continuous quality improvement cycle that identifies both:
 - Areas of improvement, and;
 - The underlying cause of the monitoring finding



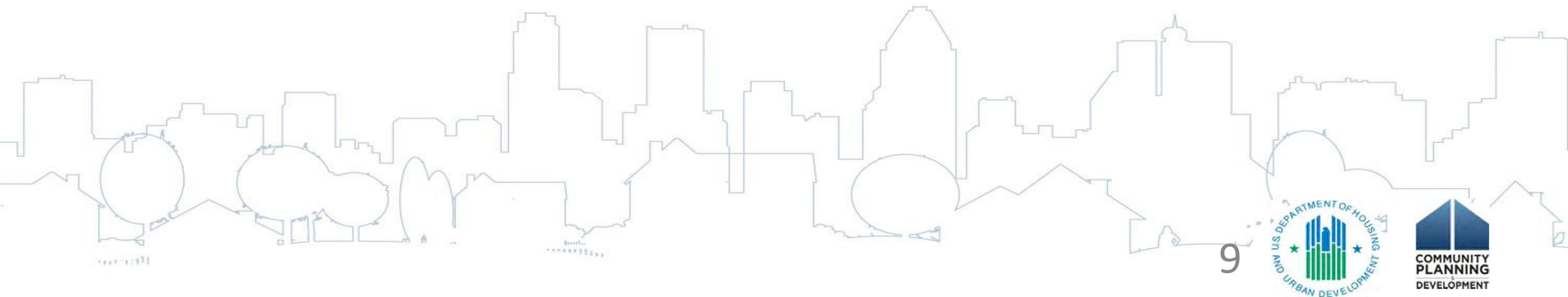
The Purpose of Monitoring

- Consider the following approaches to monitoring HMIS data quality:



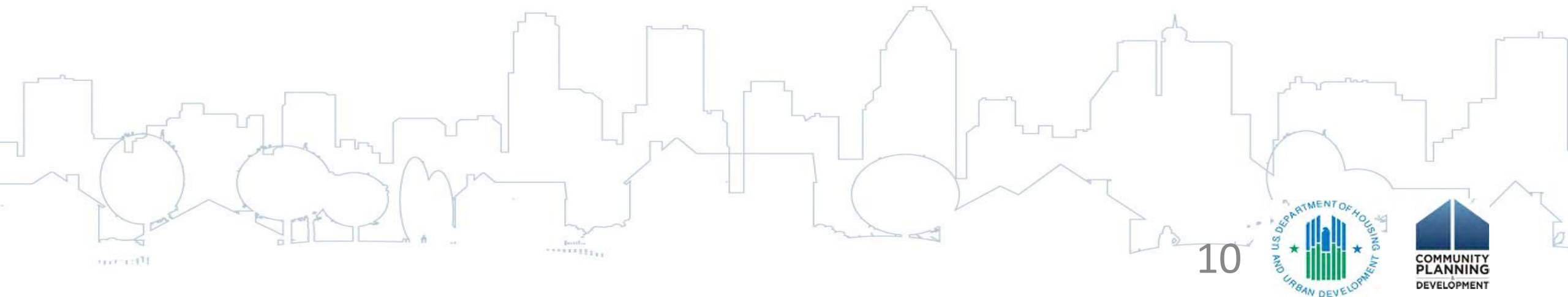
The Purpose of Monitoring

- Consider the following approaches to monitoring HMIS data quality:
 - “Does the HMIS Lead monitor all HMIS Participating Agencies for data quality?”



The Purpose of Monitoring

- Consider the following approaches to monitoring HMIS data quality:
 - “Does the HMIS Lead monitor all HMIS Participating Agencies for data quality?”
 - “Has the HMIS Lead’s data quality monitoring process led to improvements in HMIS Participating Agency data quality?”



Case Study #1: HMIS Governance

- The CoC requires all HMIS participating agencies to enter into an HMIS Agency Agreement and to designate an Agency Administrator. The Agency Administrator is responsible for ensuring all end users access HMIS training on privacy, security, and data quality, and is also responsible for any initial troubleshooting tasks, like resetting passwords. The HMIS Lead provides more advanced training to experienced end users on an optional basis. The CoC's data quality has been decreasing over the past three years, and was unable to submit LSA data in 2018.
- What are some practical strategies for improving data quality and report submission for the CoC?

Clarifying Roles and Responsibilities

- Clearly defining roles and responsibilities across HMIS stakeholders is necessary to establish measureable baselines for:
 - Administration
 - Performance management
 - Quality of service delivery
- Keep in mind that your CoC must define which stakeholder is responsible for what activity or task



Clarifying Roles and Responsibilities

- How are HMIS roles and responsibilities delineated in your CoC?

Activity or Task	HMIS Lead	CoC/Data Committee	CHO/Agency Administrator	External Vendor or Consultant
Monitoring Data Quality	X			
Monitoring Privacy Settings	X			
Providing Training	X			
Overseeing System Security	X			
Managing Project Set Up	X			
Work Flow Configuration	X			
Reporting to the CoC and to HUD	X			

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Providing Training	X		X	
Overseeing System Security	X		X	
Managing Project Set Up	X		X	
Work Flow Configuration	X		X	
Reporting to the CoC and to HUD	X		X	

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Activity or Task	HMIS Lead	CoC/Data Committee	CHO/Agency Administrator	External Vendor or Consultant
Monitoring Data Quality		X	X	X
Monitoring Privacy Settings		X	X	
Providing Training				X
Overseeing System Security	X			
Managing Project Set Up			X	X
Work Flow Configuration	X			X
Reporting to the CoC and to HUD	X	X	X	

Clarifying Roles and Responsibilities

- How are HMIS roles and responsibilities delineated in your CoC?

Activity or Task	HMIS Lead	CoC/Data Committee	CHO/Agency Administrator	External Vendor or Consultant
Monitoring Data Quality	?	?	?	?
Monitoring Privacy Settings	?	?	?	?
Providing Training	?	?	?	?
Overseeing System Security	?	?	?	?
Managing Project Set Up	?	?	?	?
Work Flow Configuration	?	?	?	?
Reporting to the CoC and to HUD	?	?	?	?

Case Study #2: Grant and Financial Management

- The Pennsylvania Homelessness Initiative for Supportive Housing (PHISH) is the HMIS Lead for the CoC and serves 350 end users and has a \$400,000 dedicated HMIS project grant, but no other sources of funding. 50% of the grant goes to personnel, 30% goes to software and licensing costs, 10% goes to space and operations, and 10% goes to administration. Personnel consists of 1.5 FTE system administrators and 1 FTE project manager. Bed coverage has remained stagnant for the past several years, and recently exit destination error rates have significantly increased.
- What are some potential problems you can infer from this scenario?
- What are some practical strategies for improving data quality and report submission for the CoC?

Compliance vs. Performance Monitoring

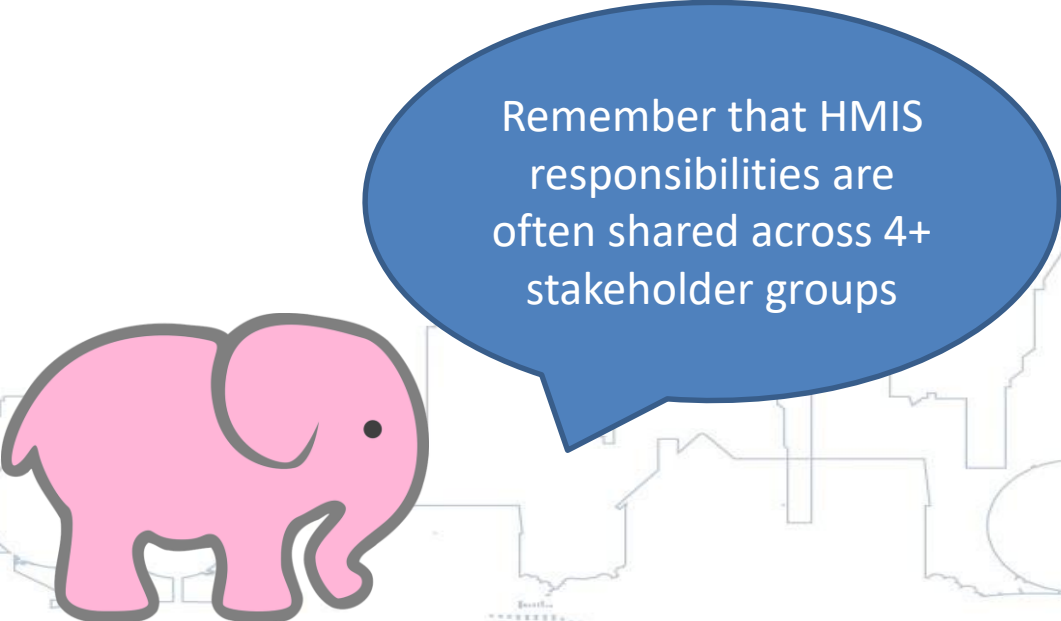
- Compliance Monitoring: Outputs
 - Monitoring to laws, regulations, contractual terms and conditions, or other standards
 - Typically reactive, often based on risk assessment
 - Only accounts for the “what”
- Performance Monitoring: Outcomes
 - Monitoring to processes, quality, and effectiveness
 - Compares actual outcomes to expected outcomes
 - Accounts for human and financial resources

Risk Mitigation

- Risks in the HMIS implementation may be identified through:
 - Frequent staff turnover
 - Ongoing report errors
 - Missed deadlines
 - Grumpy CoC Board members
 - Unhappy HMIS end users
- These are likely symptoms and not causes of underlying problems with the HMIS Lead and other HMIS implementation stakeholders
- Should be identifiable absent any formal monitoring process

Measuring Against the Baseline

- HUD requirements as defined in: CoC Program interim rule; HUD Notices
- Local requirements: HMIS governance charter; HMIS policies and procedures; contracts or statements of work; Memoranda of Understanding; service level agreements; prior RFP requirements



Remember that HMIS responsibilities are often shared across 4+ stakeholder groups

Measuring Against the Baseline

- Review the HMIS Annual Performance Report to ensure accuracy and consistency between the information that is being provided to HUD and the information that is being used to provide baseline HMIS Lead monitoring requirements.
 - Absent formally-defined monitoring procedures and baseline standards for measurement, the HMIS APR can provide a starting point for measuring the accuracy of the HMIS implementation and performance of relevant stakeholders.
 - Is the CoC's HMIS implementation being administered the way in which we said it would be, and by the right stakeholders?

Measuring Against the Baseline

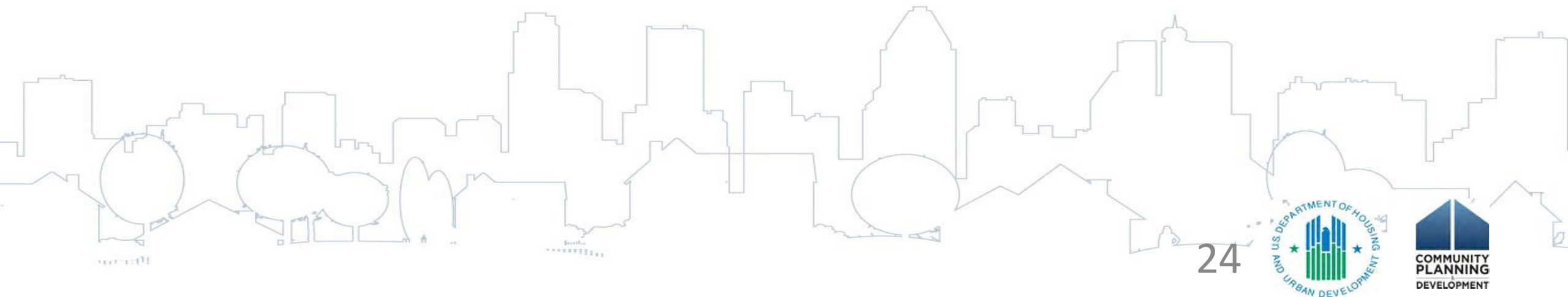
- Governance and Standards (HMIS APR Q7)
 - Does the HMIS Governance Charter establish the decision-making structure regarding the HMIS?
- Grant and Financial Management (HMIS APR Q9)
 - Has the HMIS Lead documented minimum and eligible match contributions to the HMIS dedicated grant?
- HMIS System Administration (HMIS APR Q3)
 - Does the HMIS Lead fulfill all responsibilities for system administration as defined in contracts or agreements, and applicable based on a centralized or decentralized model?

Measuring Against the Baseline

- HMIS Lead Staff Responsibilities (HMIS APR Q5)
 - System: If the HMIS Lead oversees the security of the HMIS System, does it do so regularly and have a reporting mechanism and escalation protocols in place to notify the CoC and affected agencies?
 - Reporting: If the HMIS Lead monitors data quality, does it do so on an established frequency and monitor to the timeliness, completeness, and accuracy standards established by the CoC?
 - User Support: If the HMIS Lead trains new users, does it ensure that HMIS access is granted to new users only after completion of all required training modules and demonstration of necessary knowledge?

Measuring Against the Baseline

- Policy Development and Implementation (HMIS APR Q7)
 - Has the HMIS Lead consulted with the CoC and Collaborative Applicant to update annually the governance charter and policies and procedures needed to comply with HMIS requirements prescribed by HUD in accordance with S. 578.7(a)(5)?



Measuring Against the Baseline

- Participating Agency and End User Monitoring (HMIS APR Q5 and Q6)
 - Does the HMIS Lead maintain all applicable user agreements to ensure that basic privacy and security requirements have been communicated to and understood by HMIS participating agencies and end users?
- Customer Service and End User Support (HMIS APR Q5 and Q6)
 - If the HMIS Lead provides on-going training for end users, are the trainings relevant, targeted, and aligned with the CoC's HMIS priorities on data quality, data literacy, or other facets of HMIS?

Measuring Against the Baseline

- Data Analysis and Reporting (HMIS APR Q4 and Q5)
 - How does the HMIS Lead ensure that reports submitted to HUD and the CoC are accurate, based on report programming specifications, project set up, and data quality standards?
- Data Quality (HMIS APR Q8)
 - What steps are the HMIS Lead taking to increase bed coverage if less than 100%, and are they appropriate based on resources and known barriers to HMIS participation?

Case Study #3: Reporting and Data Analysis

- A standing agenda item on the monthly CoC Board meeting is to review data provided by the HMIS Lead on project-, agency-, and system-level performance. The HMIS Lead often provides this data in tables and cross-tabs, but due to staffing constraints struggles to provide this information in advance of the meeting. Although the HMIS Lead provides some analysis and interpretation of the data, the discussion typically ends following these updates without further questions or conversation from the CoC.
- What are some practical strategies for increasing the value and effectiveness of these monthly performance reviews between the HMIS Lead and CoC?

Quick Reminder

- In practice, HMIS Leads need to be capable of providing the following activities or services to the CoC, HMIS end users, and other HMIS stakeholders:
 - Policy and Planning
 - System Administration
 - Reporting and Analysis
 - Monitoring and Evaluation
 - Training and Technical Support
 - Coordinated Entry Support
 - Communication and Capacity Building

Developing Measureable Outputs

- Policy and Planning: Did the HMIS Lead coordinate with the CoC and Collaborative Applicant to update the HMIS Policies and Procedures during the past monitoring cycle?
- System Administration: Did the HMIS Lead ensure appropriate access to the HMIS software for all end users, based on access and sharing settings, license type, and user roles?
- Reporting and Analysis: Did the HMIS Lead submit all HUD-mandated reports in the correct reporting platform on-time and without data quality or validation errors?

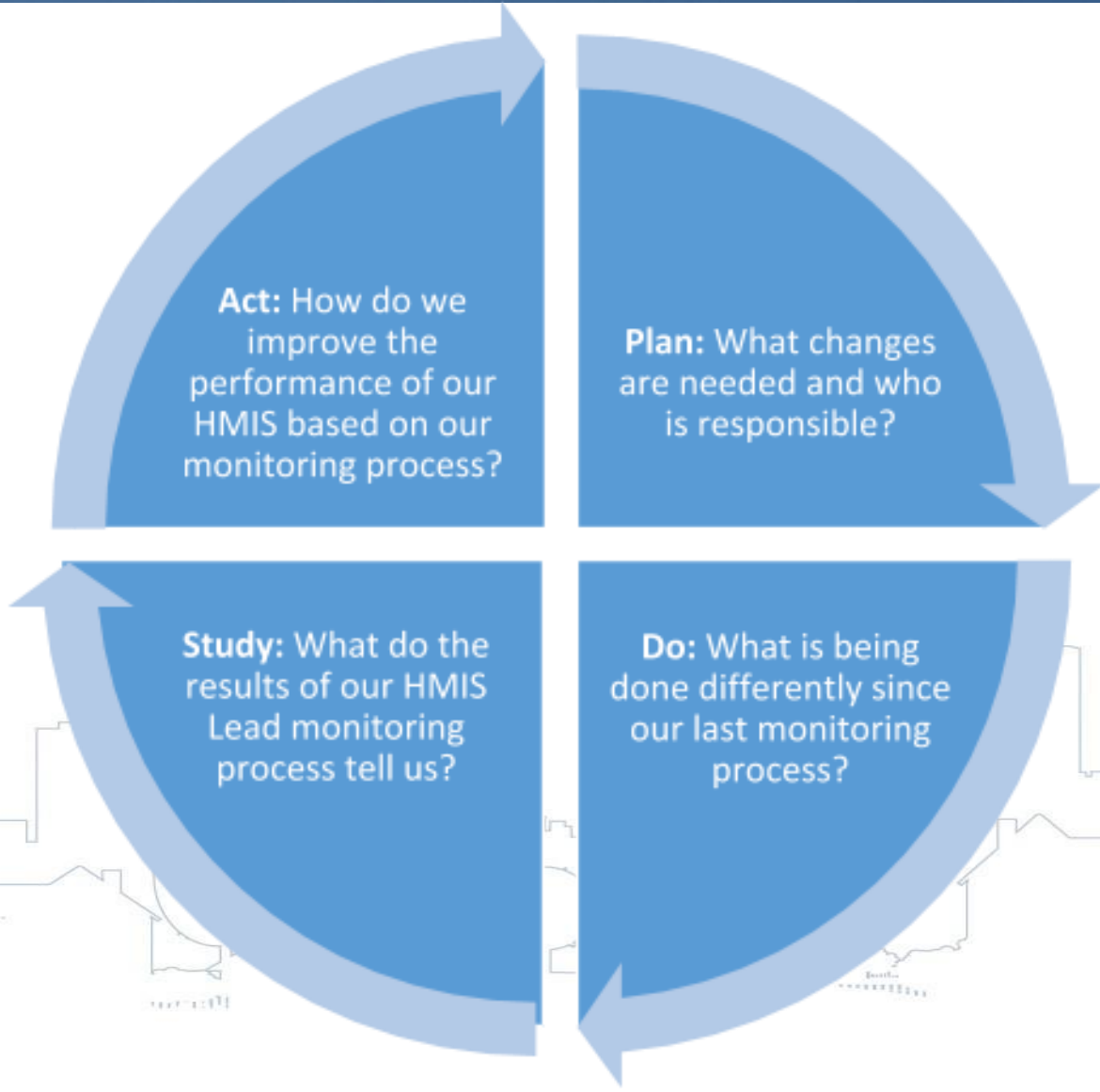
Developing Measureable Outputs

- Monitoring and Evaluation: Did the HMIS Lead conduct privacy, security, and data monitoring processes to all HMIS participating agencies during the past monitoring cycle, and report to the CoC any findings, deficiencies, or need for corrective actions?
- Training and Technical Support: Did the HMIS Lead respond to all service desk tickets within the allowable timeframe, with no more than 10% of Tier 1 responses requiring escalation to Tier 2 following initial response?

Developing Measureable Outputs

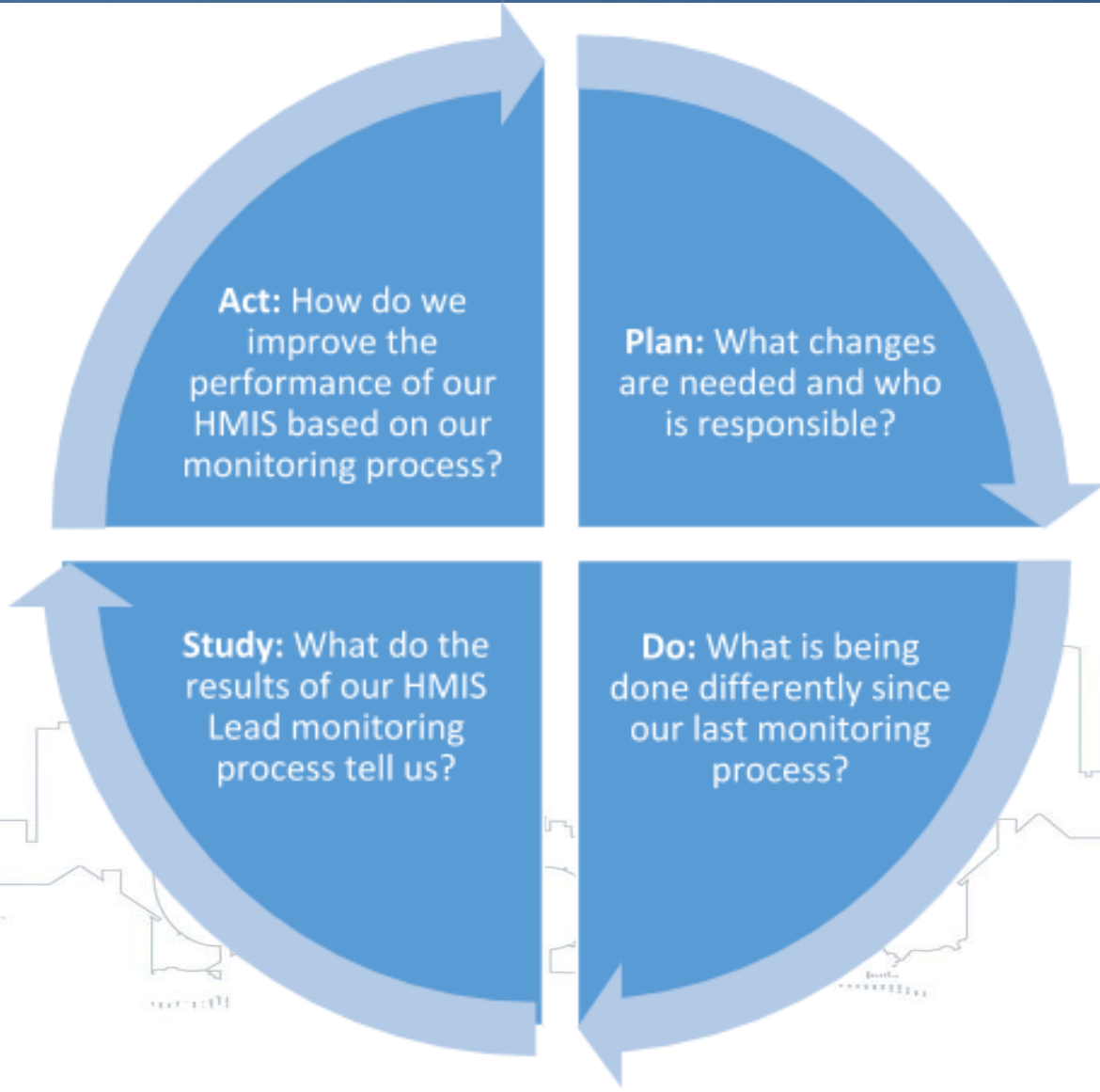
- Coordinated Entry Support: Has the HMIS Lead updated the prioritization algorithm for HMIS management of the coordinated entry active list, in accordance with the revised prioritization policies of the CoC?
- Communication and Capacity Building: Did the HMIS Lead communicate all software upgrades and system updates to all Agency Administrators and HMIS end users within the 24 hour allowable period, per the terms of the SOW?

Implementing an HMIS Lead Monitoring Process



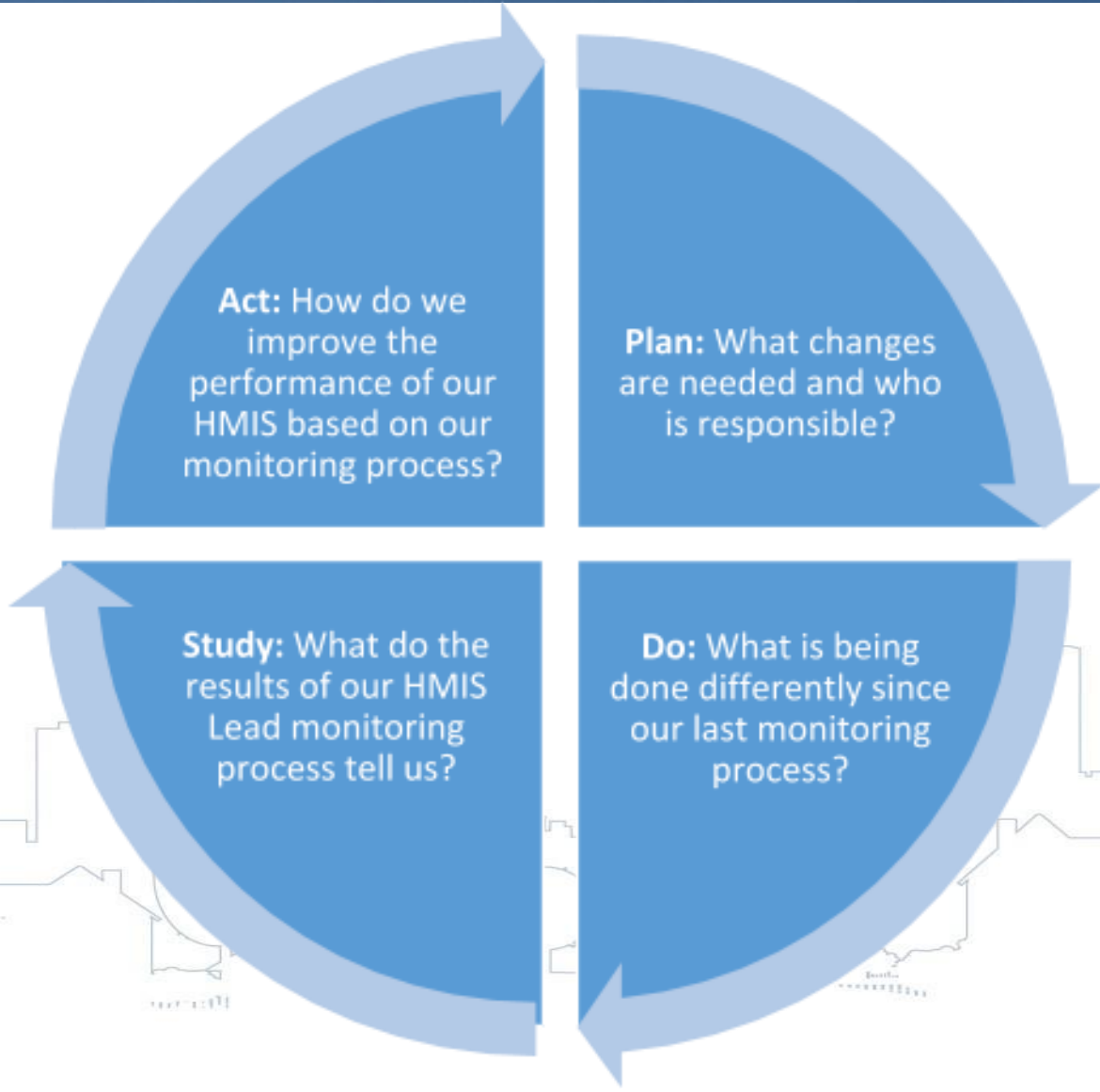
- Plan
 - Determine monitoring entity
 - Assess appropriate time to monitor
 - Gather performance and compliance data

Implementing an HMIS Lead Monitoring Process



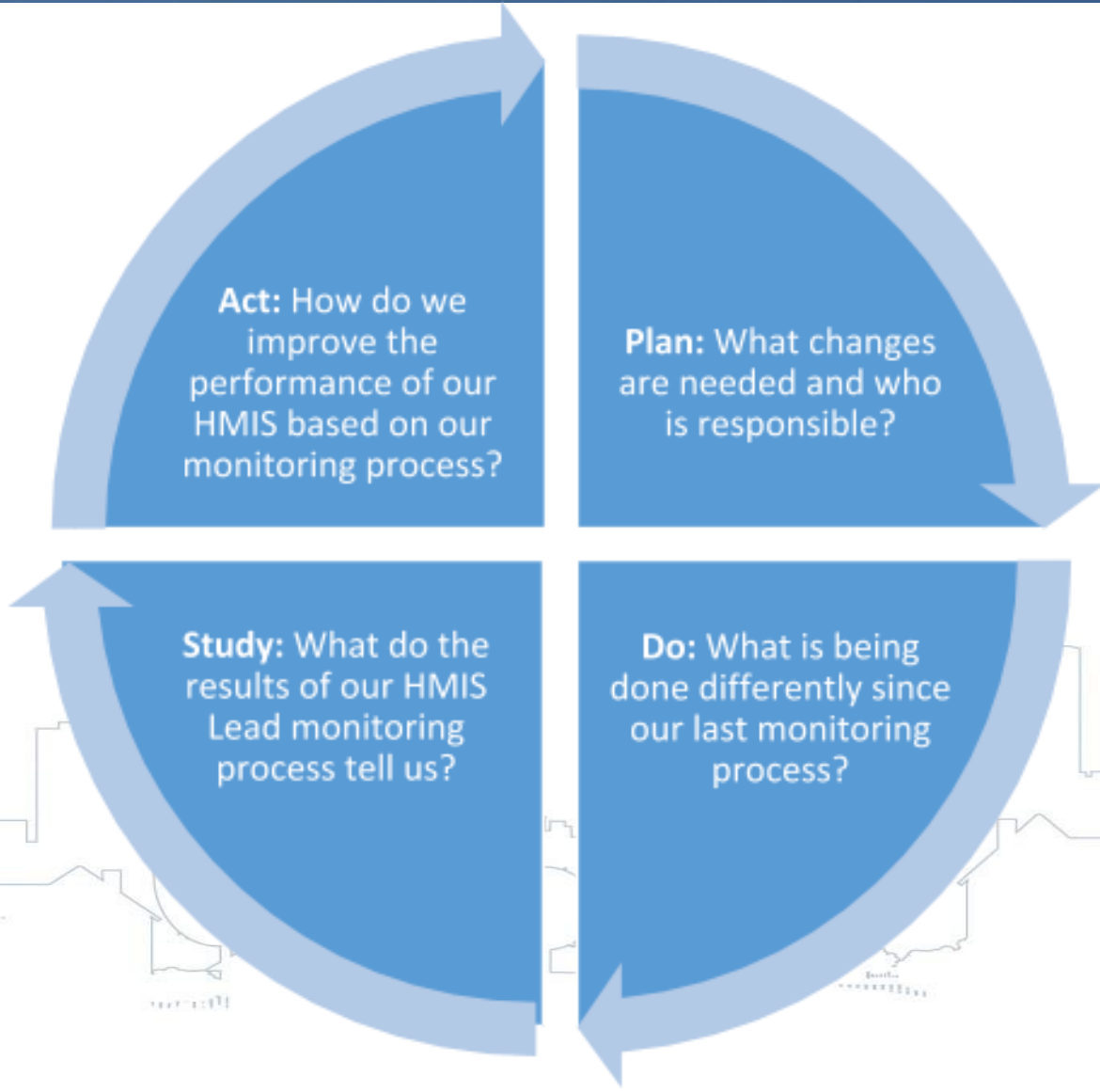
- Do
 - Create feedback loops
 - Agree to monitoring measures and metrics

Implementing an HMIS Lead Monitoring Process



- Study
 - Measure actual outputs to intended outcomes
 - Monitoring actual outcomes to intended outcomes
 - Dig deep; you need action steps and not a checklist

Implementing an HMIS Lead Monitoring Process



- Act
 - Respond appropriately; *more* trainings vs. *better* trainings
 - Build capacity through enhanced knowledge
 - Identify remedies and resources for improvement

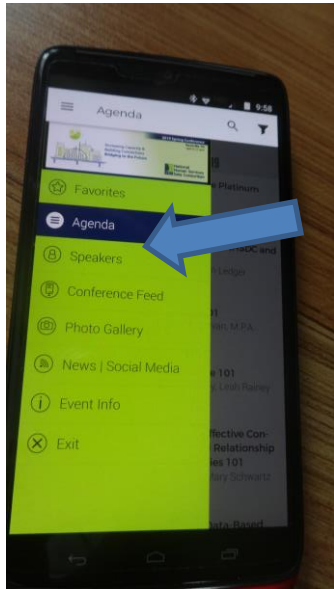
Closing thoughts and discussion



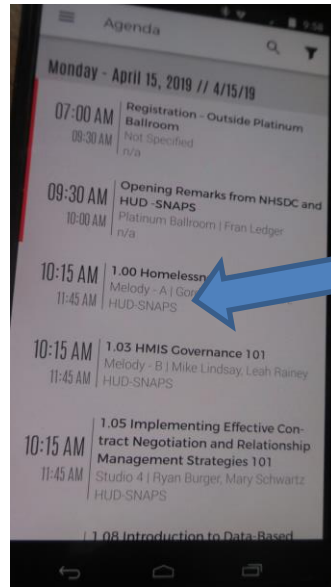
Evaluate This Session on Your Conference App!

(It takes 5 minutes to complete)

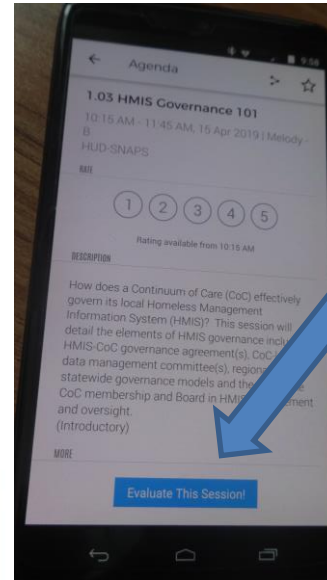
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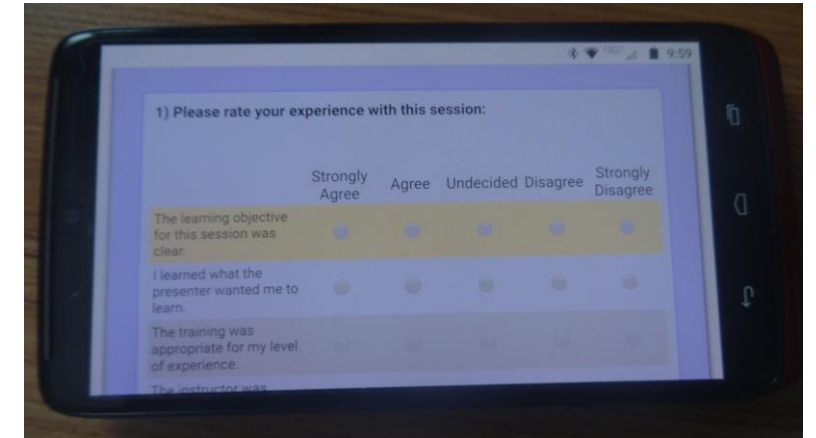
2) Select the name of the session.



3) Select the blue “Evaluate This Session”.



4) Complete the Evaluation and Select “Finish”.



TIP:

Turn your phone horizontally to see rating options.

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HUD Certificate-of-Completion

Reminder: HUD is offering a Certificate-of-Completion for completing at least 4 sessions within either track:

- 1) HMIS Fundamentals Track
- 2) System Planning with Data Track

To earn credit for completion of this session, please complete the evaluation on the conference app and include contact details when prompted

HUD Certificate-of-Completion

HMIS Fundamentals Track

- HMIS Governance 101
- HMIS Lead Monitoring
- HMIS Project Monitoring
- Implementing Effective Contract Negotiation and Relationship Management Strategies 101
- HMIS Project Set Up 101
- HMIS Project Set Up 201
- Understanding the Interconnectedness of HMIS Data
- Achieving a Quality and Stable HMIS Staffing Pattern
- HMIS Project Management and Annual Calendar of Expectations

System Planning with Data Track

- Orientation to the Stella Performance Module
- System Modeling 101
- System Performance Improvement: Part 1 – Analyzing Performance
- System Performance Improvement: Part 2 – Developing Strategies
- Overview of System Performance Measures and Reports
- Using Data in Funding Decisions
- System Performance by Subpopulation and Geography