



# **HMIS Governance 101**

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# HUD Certificate-of-Completion

HUD is offering a Certificate-of-Completion for individuals that attend a short topic track.  
Participants must complete 4 sessions to receive certification.

## HMIS Fundamentals

- HMIS Governance 101
- Implementing Effective Contract Negotiation and Relationship Management Strategies 101
- HMIS Project Set Up 201
- Achieving a Quality and Stable HMIS Staffing Pattern
- HMIS Project Management and Annual Calendar of Expectations
- Improving your Training Curriculum and Delivery

**Be sure to complete the NHSDC post conference survey to indicate you have completed the Certificate-of-Completion!**

# Tell Us About You

In the chat, tell us:

- Your name
- Community
- Role:
  - HMIS Lead or System Administrator
  - CoC Lead or Board
  - Provider/HMIS End User
  - Other (describe)

Use the chat and Q&A functions throughout the presentation!



# Learning Objectives

- Define the roles and responsibilities of the CoC vs. HMIS Leadership in HMIS governance
- Understand the importance of establishing strong HMIS governance to support HMIS operations and performance
- Identify key decision points when developing or strengthening an HMIS governance model
- Understand the risk and consequences of weak governance structures



# Hallmarks of Good Governance

## Strong Governance structures are built on:

- Clear roles and responsibilities
- Transparent processes
- Clear communication
- Representative and inclusive
- Established, documented, and enacted rules or procedures
- Accountability and follow through



# Hallmarks of Bad Governance

**Bad (or weak) governance structures are built on:**

- Secrecy
- Exclusionary groups
- Inefficiency
- Ad hoc rulemaking
- Power hoarding
- No accountability or oversight



# What Do We Mean By “Governance?”

- Governance Structure or Model
  - Defining organizational roles and responsibilities
  - Establishing linkages between organizations/entities
- Governance of Policy
  - Defining who has the authority to develop, review, and approve policies and procedures
- Governance of Process
  - Establishing the process of engaging in policy development and decision-making forums
  - Backed up by charters, by-laws, and other process documents
- Governance of Performance
  - Developing standardized monitoring and evaluation
  - Ensuring transparency and accountability



# Why is Governance Such a Big Deal?

## Inadequate governance structures have resulted in:

- Lack of vision or clarity around priorities
- Loss of investments
- Delays in HMIS implementation advancements
- Incomplete and inaccurate data
- Unclear understanding of HMIS role in community
- Power struggles and finger-pointing
- Frustration!



# Requirements of Governance

- The CoC must:
  - Designate a HMIS software
  - Designate the HMIS Lead
  - Review, revise, and approve a privacy plan, security plan, and data quality plan for the HMIS
  - Ensure consistent participation in the HMIS
  - Ensure the HMIS is administered in compliance with requirements prescribed by HUD
  - In consultation with the collaborative applicant and HMIS Lead, the CoC must develop, follow, and update annually a governance charter.
    - The governance charter includes all procedures and policies needed to comply with Subpart B of the CoC Program interim rule and with HMIS requirements as prescribed by HUD.

## Slide 9

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George Martin, 3/23/2021

## Requirements of Governance

- The CoC has additional responsibilities for:
  - Establishing performance targets by population and program type
  - Monitoring recipients and subrecipients
  - Monitoring and supporting HMIS compliance including VSP comparable databases
  - Evaluating outcomes
  - Operating a coordinated entry system
  - Planning for and conducting the Point In Time Count
  - Conducting an annual gaps analysis
  - Providing information for Consolidated Plans

**These requirements all rely on data!**

## Slide 10

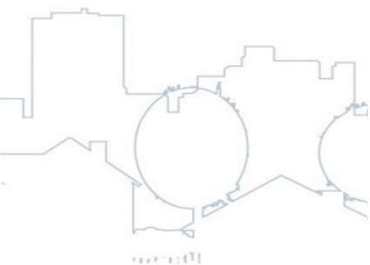
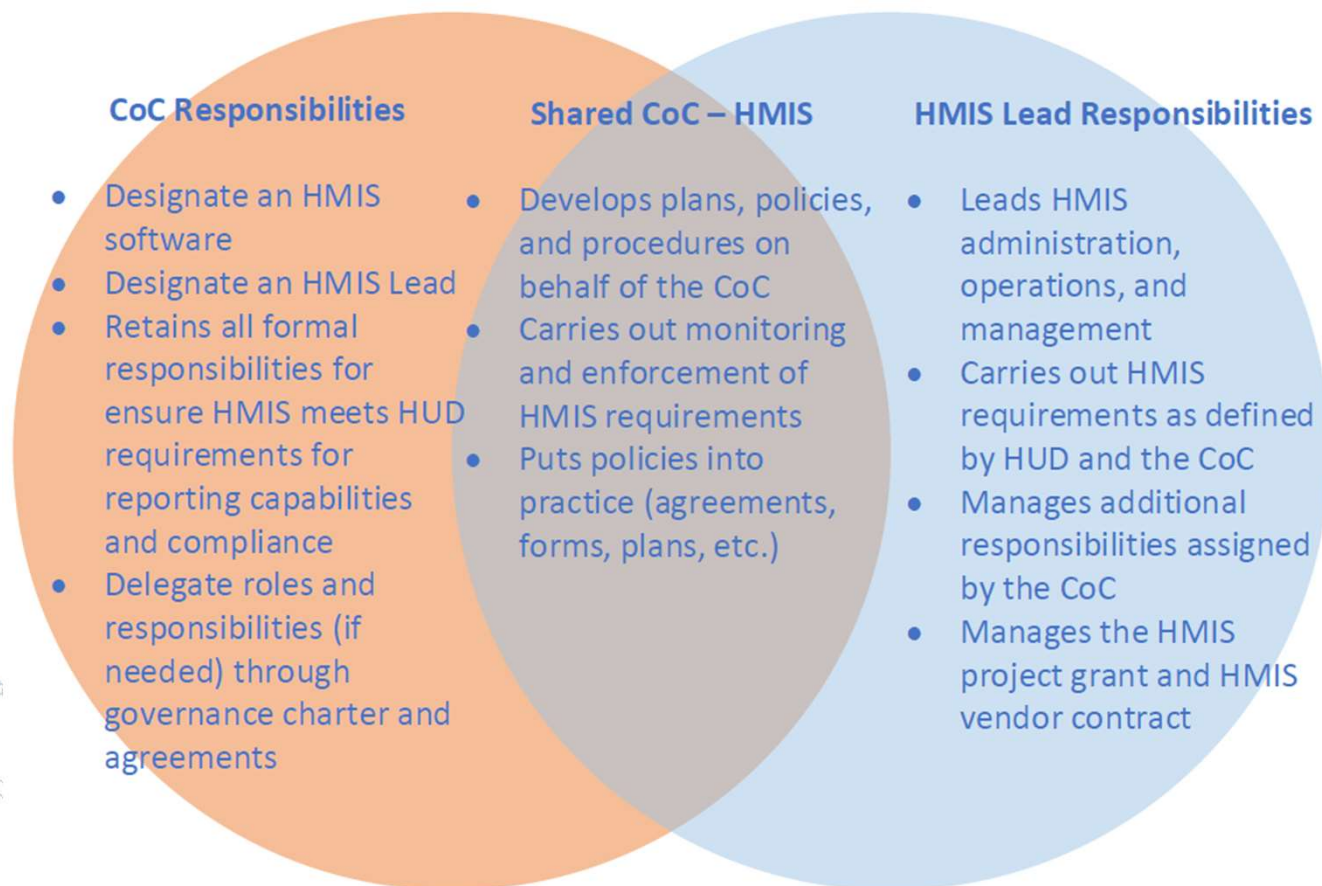
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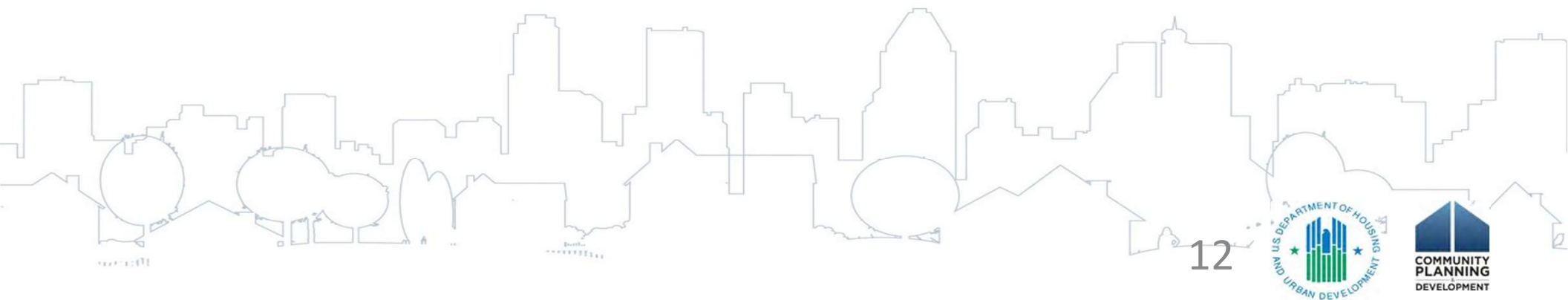
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# Governance in Context



# Roles and Responsibilities

Community Examples



# 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			



# Clarifying Roles and Responsibilities

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

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Monitoring Privacy Settings	X		X	
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	

# Clarifying Roles and Responsibilities

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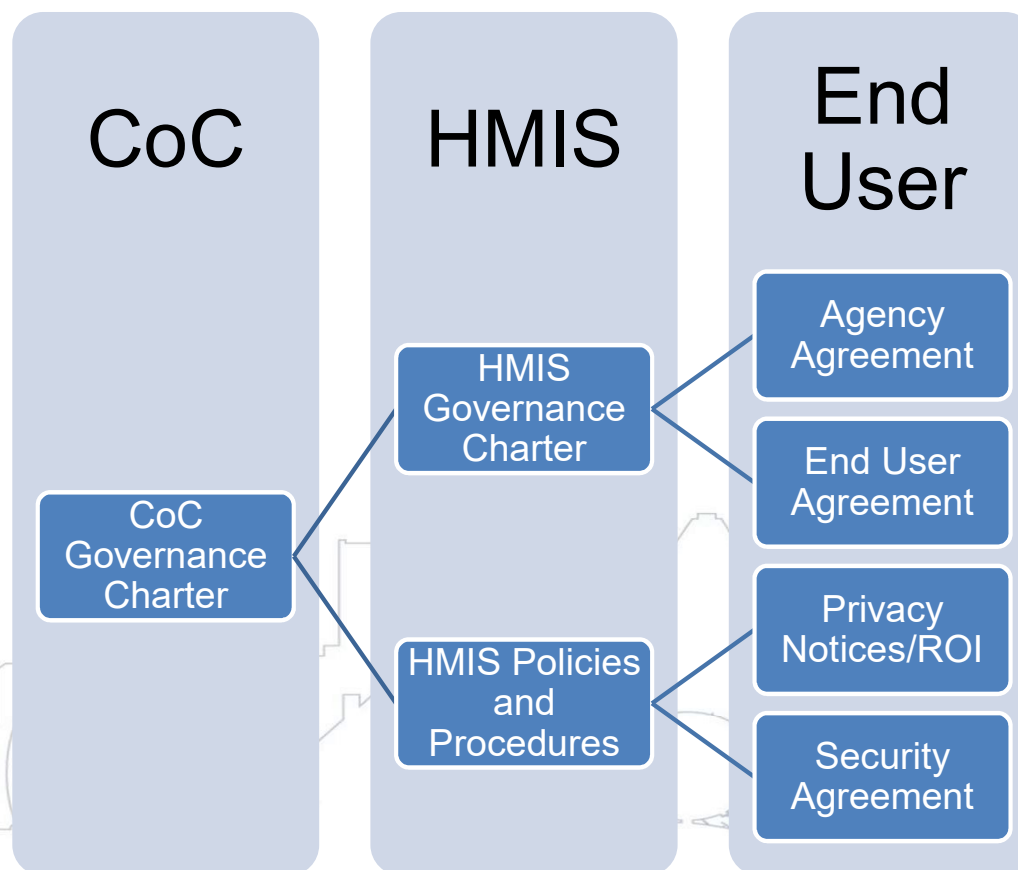
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Monitoring Data Quality		X	X	X
Monitoring Privacy Settings		X	X	
Providing Training				X
Overseeing System Security	X			
Managing Project Set Up			X	X
Work Flow Configuration	X			X
Reporting to the CoC and to HUD	X	X	X	

# 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	?	?	?	?

# Putting Governance Into Practice



# Putting Governance Into Practice

## HMIS Governance Charter

- Identifies a single designated HMIS Lead
  - The process for identifying the HMIS Lead
- Specifies the CoC(s) responsible for entering into the HMIS agreement with Lead
- Specifies how the CoC(s) and the HMIS Lead will work together to establish, support, and manage the HMIS in a manner that meets HUD's standards for data quality, privacy, and security

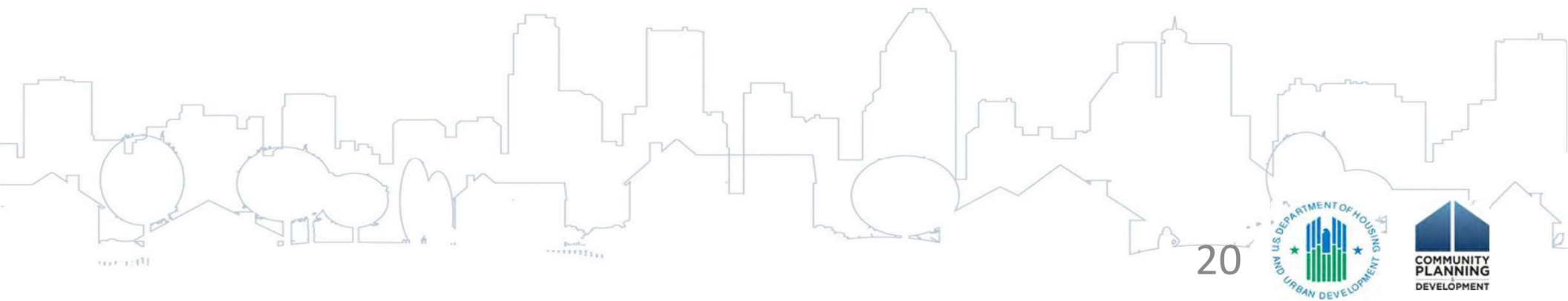
# Putting Governance Into Practice

## HMIS Governance Charter

- Outlines the process the HMIS Lead will follow to develop and maintain required HMIS policies and standards related to functionality, privacy, security, and data quality
- Recommends HMIS Lead enter into written HMIS End User agreements with each CHO
- Specifies HMIS End User fee charged by the CoC(s) or HMIS Lead, if any, and the basis for the fee
- **Specifies the responsibilities and relationships between the CoC(s), HMIS Lead, and other participants relevant to the HMIS**

# Q&A

What questions do you have about HMIS Governance? Submit them in the Q&A function!





# When Things Fall Apart: Evidence of Weak Governance Structures



# Case Study in Weak HMIS Governance

The Southern Suburban Shelter and Services Consortium is the leadership organization for the CoC. The CoC has an HMIS Data Committee that recently approved a data quality plan that significantly increases the baseline minimum for all component of data quality. HMIS Participating agencies are having difficulty meeting the new standards and are unclear on how their data quality monitoring report cards will impact both project operations and agency funding. A group of concerned providers has recently raised the issue with CoC leadership which supports increased data quality but believes that the HMIS Data Committee made too many changes too quickly. The CoC is unsure of next steps.

**What do you recommend? Write it in the chat box.**

# Governance Impact on Data Quality

Roles	Responsibilities
CoC Leadership	<ul style="list-style-type: none"><li>• Review and approve the data quality plan</li><li>• Set data quality benchmarks</li><li>• Review data quality reports</li><li>• Determine expectations for monitoring and compliance</li><li>• Work with providers and the HMIS Lead/System Administrator to develop and implement solutions for improving data quality</li><li>• Consider data quality in the rating and ranking process for funding decisions</li></ul>

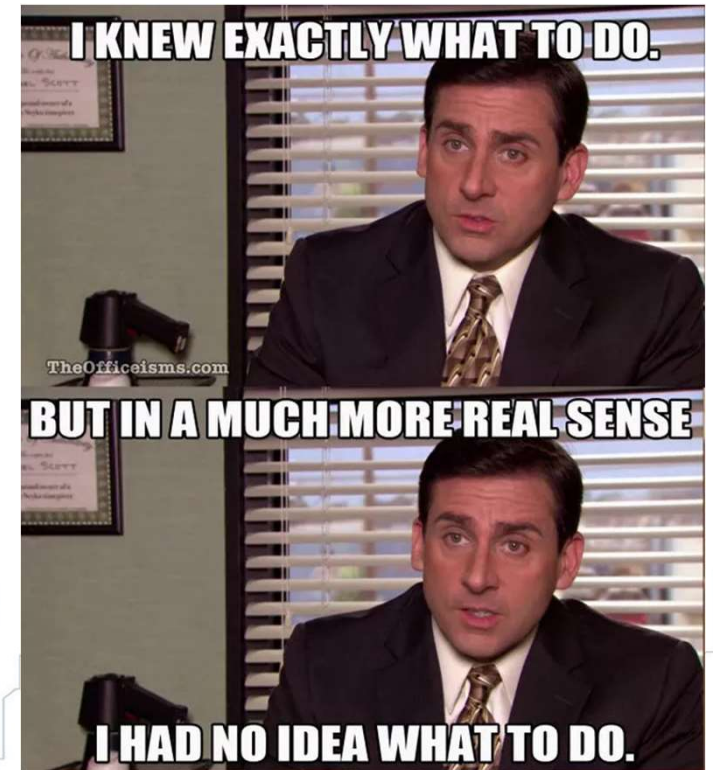
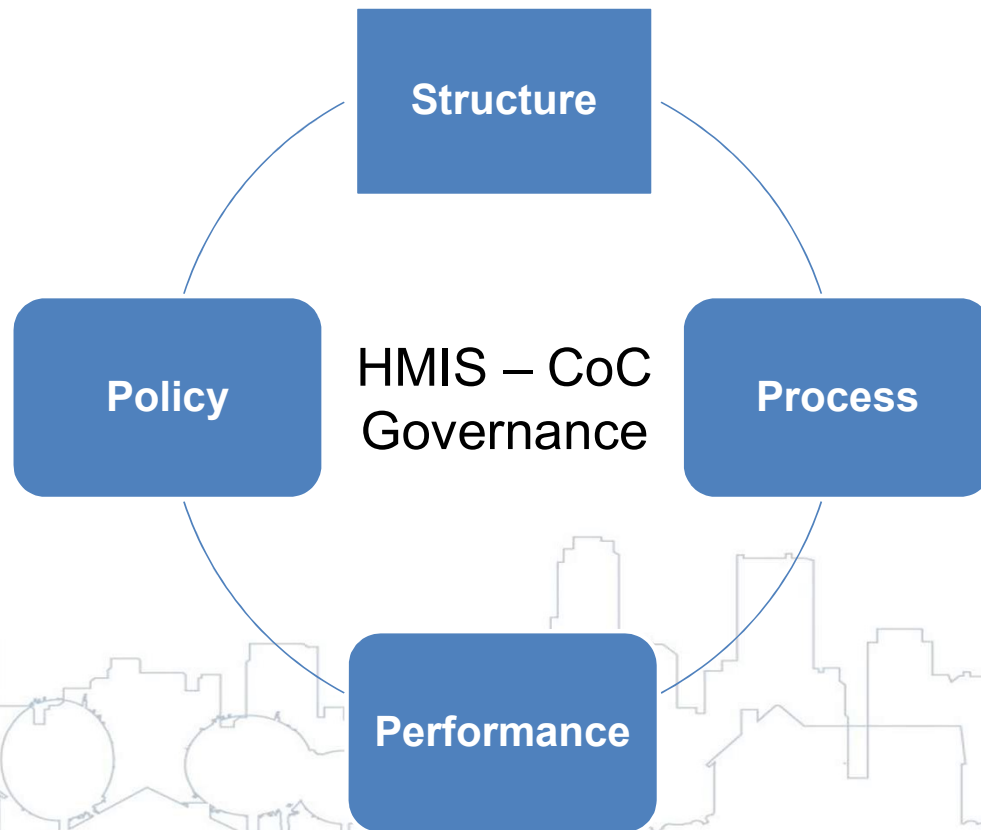
# Governance Impact on Data Quality

Roles	Responsibilities
HMIS Lead	<ul style="list-style-type: none"><li>• Work with the HMIS vendor to ensure access to data quality reports</li><li>• Understand the data quality elements to be submitted with the SPM and APR</li><li>• Systematically monitor the data</li><li>• Communicate regularly with the CoC and individual providers to ensure stakeholders are informed and have the resources to address data quality concerns</li></ul>

# Governance Impact on Data Quality

Roles	Responsibilities
HMIS Participating Agency Leadership	<ul style="list-style-type: none"><li>• Set the tone for the agency's commitment to data quality</li><li>• Monitor a project's data quality</li><li>• Prepare for APR requirements</li><li>• Actively participate in CoC and HMIS decision-making forums</li><li>• Resolve any data quality findings as quickly as possible</li></ul>

# HMIS Governance Decision Points



# HMIS Governance Decision Points

## Structure

- How have organizational roles and responsibilities been defined as they relate to HMIS?
  - Do you know where these are written down?
- How are HMIS participating agencies and end users held accountable?
  - To whom are they held accountable?
  - What accountability mechanisms exist and how are they enforced?
- When and why are issues brought up to HMIS participating agency leadership?
  - What about the HMIS Lead? The CoC?



# HMIS Governance Decision Points

## Policy

- How has the authority to develop, review, and approve policies been defined in your community?
  - Where are policy decisions developed, recommended, and approved across CoC Leadership, CoC data committees, the HMIS Lead, and HMIS participating agencies?
- Does your CoC have conflict of interest policies in place?
  - Consider how new data quality standards or privacy policies are determined.
  - Would stakeholders understand how a change to HMIS software or HMIS Lead is made?
- Are HMIS policies appropriately operationalized through agreements, forms, and training protocols?

# HMIS Governance Decision Points

## Process

- Who gets to have a seat at the table when HMIS decisions are being made?
  - Are there diverse stakeholders represented?
  - Are both strategic/systems viewpoints and tactical/operational viewpoints represented?
- How often does HMIS monitoring occur, and who is involved?
  - What are the results of the monitoring process?
  - Consider monitoring of both the HMIS Lead and HMIS participating agencies
- How is feedback gathered when HMIS funding decisions are made?
  - Are funding decisions in alignment with HMIS strategies for data use and performance?

# HMIS Governance Decision Points

## Performance

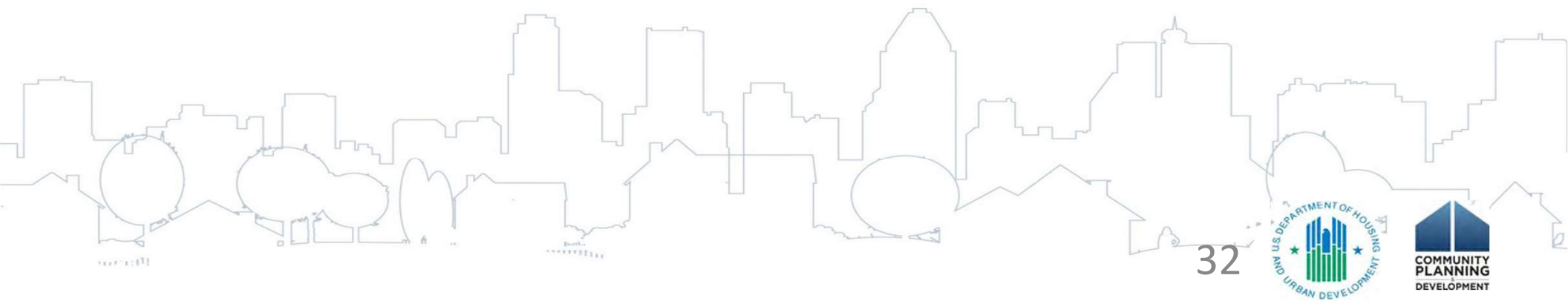
- What resources are used to support HMIS performance and how are these determined?
  - Consider training and help desk support, workflow improvements, administrative support, reporting and analytics
- How often does HMIS monitoring occur, and who is involved?
  - What are the results of the monitoring process?
- How do performance standards account for differences in project types, housing inventory, or population served?
  - Are these standards clear and transparent?

# HMIS Governance Best Practices in Summary

- Formalized Governance Structure
- Unified decision-making body
- No conflicts of interest in decision-making structure
- Single policies and procedures
- HMIS Lead is monitored by entity that represents CoC
- CoC(s) has input on development of baseline DQ, Privacy and Security plan
- Capacity among CoC to utilize HMIS data for systems planning
- High functioning CoC = High Functioning HMIS Lead
- Steady financial support for HMIS operations

# Q&A

What questions do you have about HMIS Governance? Submit them in the Q&A function!



# Thank you!

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