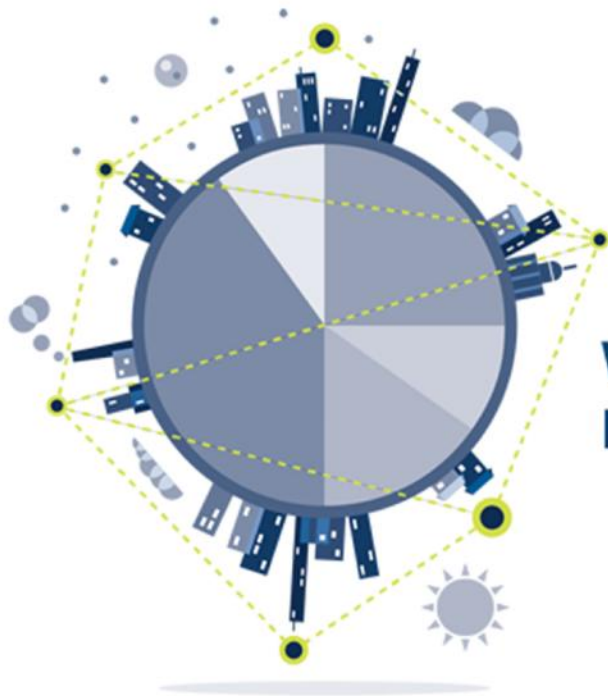


# Making Governance Work: Strategies for Improving the Management and Oversight of your Data System

Mike Lindsay, Natalie Matthews, Rebecca Pfeiffer and Mary  
Schwartz



**What's Next:**  
In Data, Leadership, and Community



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## Presenters

- Natalie Matthews, Abt Associates
- Mike Lindsay, ICF International
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- Mary Schwartz, Abt Associates



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# Learning Objectives

- Define effective governance and HUD's expectations for HMIS governance
- Identify the key roles, responsibilities and decisions of HMIS governance
- Learn from communities that have successfully implemented and HMIS governance model



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Overview of governance and what HUD expects for HMIS governance

# GOVERNANCE



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Common Elements of  
Good Governance

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Common Elements of  
Bad Governance

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- Inefficiency
- Corruption
- Red tape
- Secrecy
- Exclusionary



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# Components of 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





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## HUD Requirements: CoC Program Interim Rule (§ 578.7(b))

- The CoC is responsible for designating and operating an HMIS.

### 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



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## HUD Requirements: CoC Governance Charter

- 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.



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## Roles and Responsibilities

CoC	HMIS Lead Agency
<ul style="list-style-type: none"><li>• Designates the HMIS Lead and HMIS Vendor</li><li>• Monitors the HMIS Lead and overall data quality</li><li>• Reviews, revises, and approves HMIS policies &amp; procedures</li></ul>	<ul style="list-style-type: none"><li>• Leads HMIS Operation and Management</li><li>• Develops plans, policies and procedures on behalf of the CoC</li><li>• Contributing HMIS Organizations (CHO) policies and procedures</li></ul>

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## CoC Roles and Responsibilities

- The CoC is ultimately responsible for the HMIS
- CoC must conduct oversight of the HMIS
  - CoC can designate an appropriate entity to do this work
- Oversight process should be laid out in the CoC's Governance Charter or Agreement
- CoC has final authority on HMIS policies and procedures



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## CoC Roles and Responsibilities

- CoC must monitor the HMIS Lead Agency on an annual basis
  - Maintain monitoring documentation for at least 5 years
- CoC must also enforce the HMIS Data Quality Plan



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## HMIS Lead Agency Roles and Responsibilities

- HMIS Lead Agency must develop HMIS plans and policies and procedures
- Monitors HMIS participating agencies for HMIS compliance
- Leads HMIS operations and management, including training, reporting and vendor relations



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General Examples of HMIS Governance

# HMIS GOVERNANCE MODELS



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## HMIS Governance Roles and Responsibilities

- Often the entity that carries out the HMIS related responsibilities of the CoC; may also serve in an advisory capacity
- Up to the CoC to determine what role its committees will have in their work and what type of governance model they will implement





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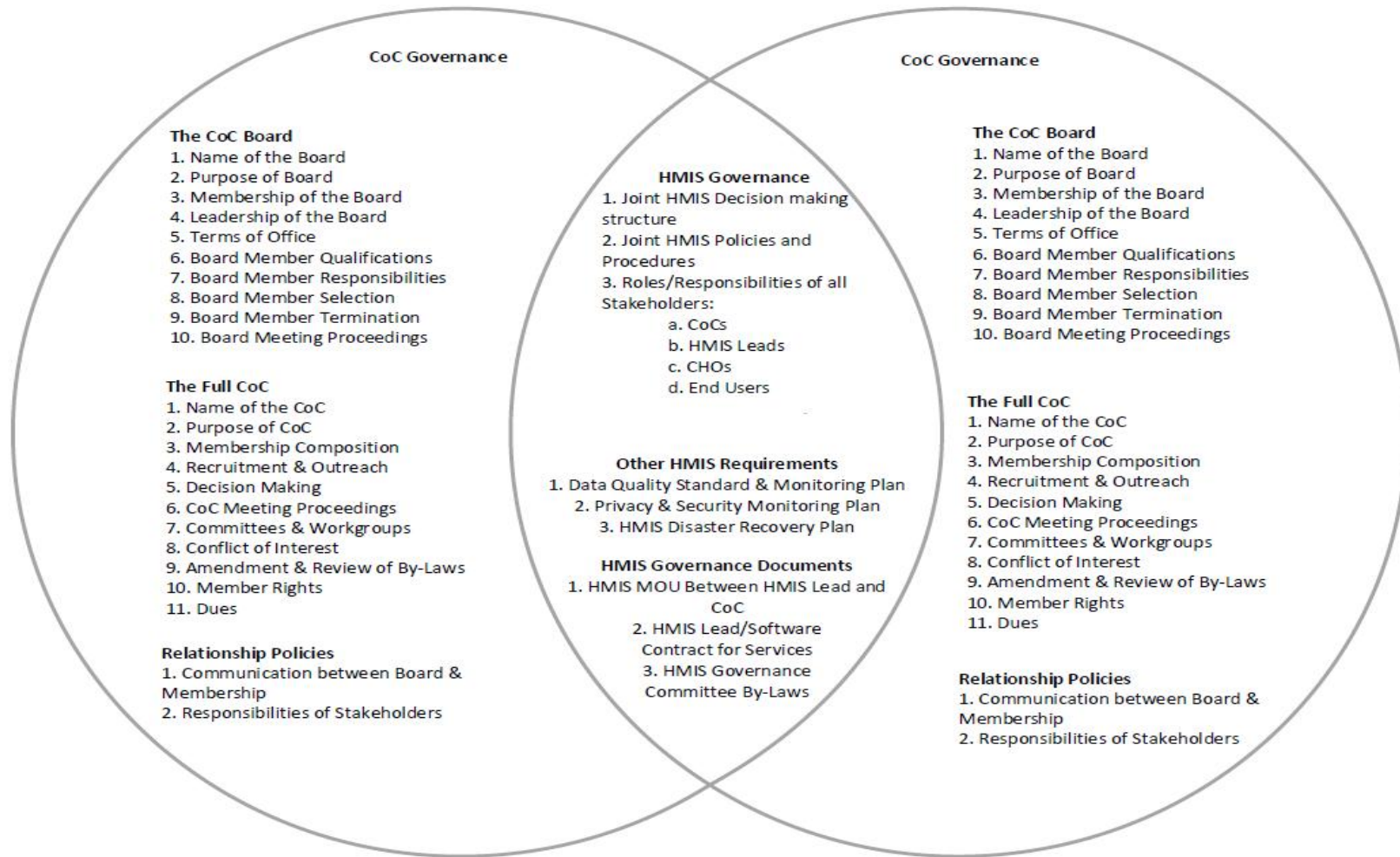
# HMIS Governance Models

- Ensure roles and responsibilities are clearly defined across and within CoCs
- Establishes common standards to improve reliability in reporting, HMIS participation, and HMIS administration
  - Data quality (timeliness and completeness)
  - Training and technical support
  - Supporting coordinated entry and coordination of client care
- Ensures the HMIS governance model is developed and formally documented between the HMIS Lead and the CoC (or the designated governance committee on behalf of the CoC)
- Ensures a formal agreement outlining CoC and HMIS Lead management processes, responsibilities, decision-making structures, and oversight has been executed



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**HMIS Governance in Multi-CoC Environment**





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Community Example

# STATE OF NORTH CAROLINA



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## **Governance Model: North Carolina Statewide HMIS Implementation**

- 12 CoCs that have the same HMIS Lead, HMIS vendor, and statewide baseline policies and procedures
- HMIS Governance primarily driven by HMIS Governance Committee
- CoCs utilize cost-sharing to fund HMIS structural costs and user licenses
- HMIS Lead responsible for developing statewide policies, providing statewide reporting, other statewide initiatives
- CoCs Utilize Local System Administrator structure to support CHOs:
  - Designated by each CoC
  - Provided guidance by HMIS Lead
  - Implements policy at the local level
  - Assures standardization across 12 CoCs



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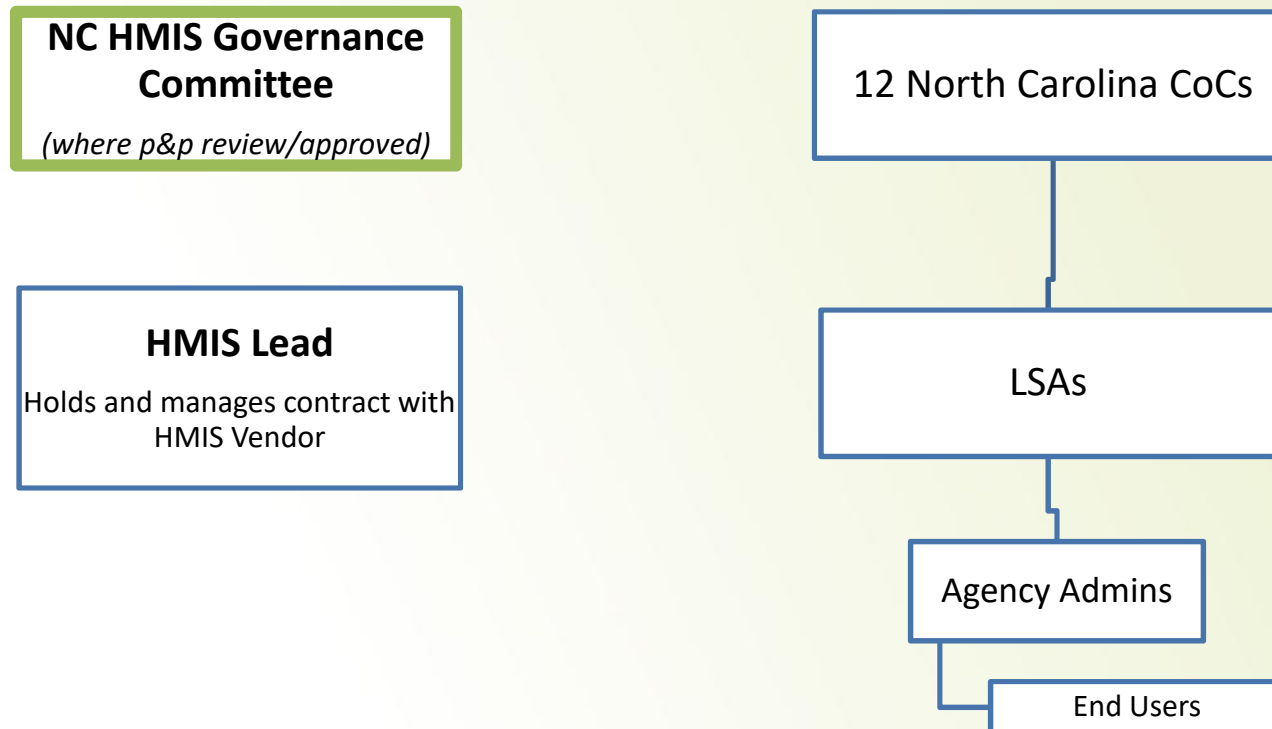
## Governance Model: North Carolina Statewide HMIS Implementation

North Carolina HMIS Implementation	
HMIS Lead	All 12 CoCs designate the same HMIS lead (Michigan Coalition to End Homelessness)
HMIS Vendor	All 12 CoCs designate the same HMIS vendor
Policies and Procedures	Same policies and procedures (Adoption of DQ, Privacy, and Security Plans)
Primary Decision-Making Body <ul style="list-style-type: none"> <li>Composition</li> <li>Voting</li> </ul>	<p>North Carolina HMIS Governance Committee</p> <ul style="list-style-type: none"> <li>Composed of one member and one alternate member from each CoC (except BoS), and 4 members and 4 alternates from the BoS CoC.</li> <li>Each NC HMIS GC member has one vote.</li> </ul>
Governance Documents	Governance Committee By-Laws, 3-way MOU (between HMIS Lead, CoC, and HMIS governance committee)
Contracts	HMIS Lead holds contract with HMIS vendor. CoCs are used as pass-through for HMIS funds to HMIS Lead.
Fee Structure	All CoCs responsible for contributing to HMIS implementation. Amount is determined at the Governance Committee level – based on HIC data.
Other	Local System Administrator (LSA) Structure (held accountable by CoC but provided guidance by HMIS Lead)



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## North Carolina HMIS Governance Model





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Community Example

# WASHINGTON BALANCE OF STATE





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# Washington State CoCs

- 7 Continuums of Care, three different vendors, 5 implementations\*
  - 500 – Seattle/King County (most populous city, and 5<sup>th</sup>, 6<sup>th</sup>, 8<sup>th</sup>, and 9<sup>th</sup> most populous cities in the county as well, urban)
  - 501 – Balance of State (31 rural counties, with a few multi-city jurisdictions)
  - 502 – Spokane City/County (2<sup>nd</sup> most populous city, urban & rural parts)
  - 503 – Tacoma/Pierce County (3<sup>rd</sup> most populous city, urban & rural parts)
  - 504 – Everett/Snohomish County (7<sup>th</sup> most populous city, urban & rural parts)
  - 507 – Yakima City/County (10<sup>th</sup> most populous city, urban & rural parts)
  - 508 – Vancouver/Clark County (4<sup>th</sup> most populous city, urban & rural parts, borders with Portland, OR)

\*State required by legislature to pull together statewide database of homeless data & cross-systems matching with other state client databases like arrests, education, and social services data....



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## **...Commerce is both BOS Lead and State Grants for Housing Assistance Lead**

- Because of the state funding and data requirements that come with it, Commerce has both responsibilities: serve the Balance of State CoC as lead, and provide oversight of homeless systems/HMIS in all other CoCs as well as grant assistance, monitoring, and compliance activities for federal dollars (BOS only) and state dollars (all CoCs)
  - provide funding for state programs
  - facilitate data sharing with other state agencies
  - oversee a tech support team for one CoC and the vendor contract for three CoCs
  - facilitate issues resolution & provide data analysis for all CoCs – (go see Talia and Emily present the data analysis portion of governance)!!



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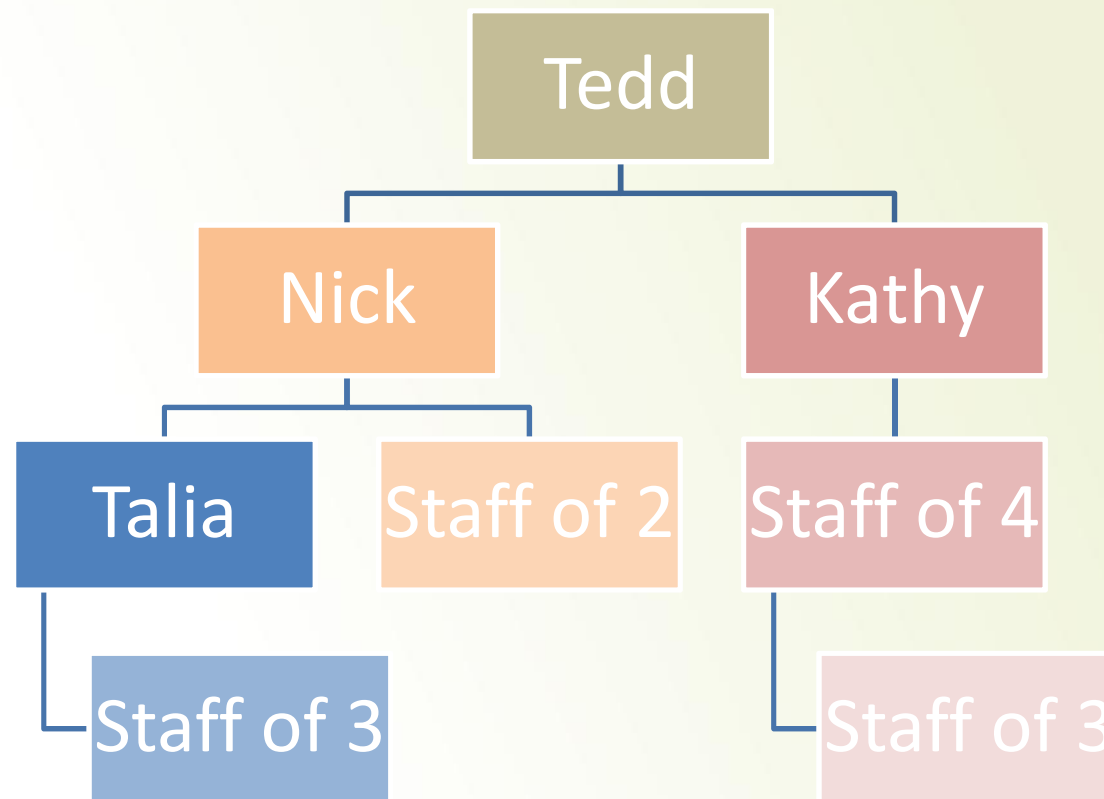
Washington Balance of State Governance Model	
HMIS Lead	Commerce
HMIS Vendor	One vendor, three CoCs (WA 500, WA 501, WA 507) Each CoC has an internal governance committee, with participation on the BOS Committee from a representative of the other two CoCs
Policies and Procedures	Commerce writes state standard with minimum requirements for all CoCs to adopt. They can be amended up, but amended down requires state AAG oversight/approval.
Primary Decision Making Body	BOS Governance Committee; HMIS sub-committee <ul style="list-style-type: none"> <li>• One member from each county, plus one consumer</li> <li>• CoC Lead facilitates; HMIS lead participates</li> </ul> Two other bodies w/shared members: WILHA board & SACH
Governance Documents	Committee Charter
Contracts	State CHG contracts for homeless assistance require HMIS use and Committee participation; also Agency Partner Agreements for HMIS participation are Addendum to state contracts for homeless assistance Commerce holds the contract with the HMIS vendor; WA-500 also has a LSA contract with the Vendor.
Fee Structure	None – state funding and HUD Dedicated HMIS pays for BOS/State HMIS costs
Other	Some governance and decisions are determined by state security rules/procedures due to Commerce's position as a state agency; some governance is provided by the administration of HMIS and state/federal funding within Commerce:



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# Current Administrative Structure





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Discussion with North Carolina and Washington

# DEBATING THE MODELS

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# Debating the models





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## Question #1

- What do you think makes your model of governance most effective for your type of implementation, as compared to the other state?



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## Question #2

- What advice would you give to a CoC that is thinking of changing its HMIS governance model?





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## Question #3

- How does your CoC(s) monitor the work of the HMIS Lead? If you don't monitor yet, how do you think this work will happen?



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## Question #4

- What is your biggest challenge with your current governance model?



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Wrap up and Next Steps

# WRAP UP



## Next Steps

- Review with the CoC and HMIS Lead Agency, what your current model is
  - Are agreements up to date?
  - Does your model meet the tenants of “good governance?”
  - Are you able to monitor the work of the HMIS Lead?
- As HMIS requirements increase, so does the need for strong, good governance of the system