



HMIS Governance 101

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Learning Objectives

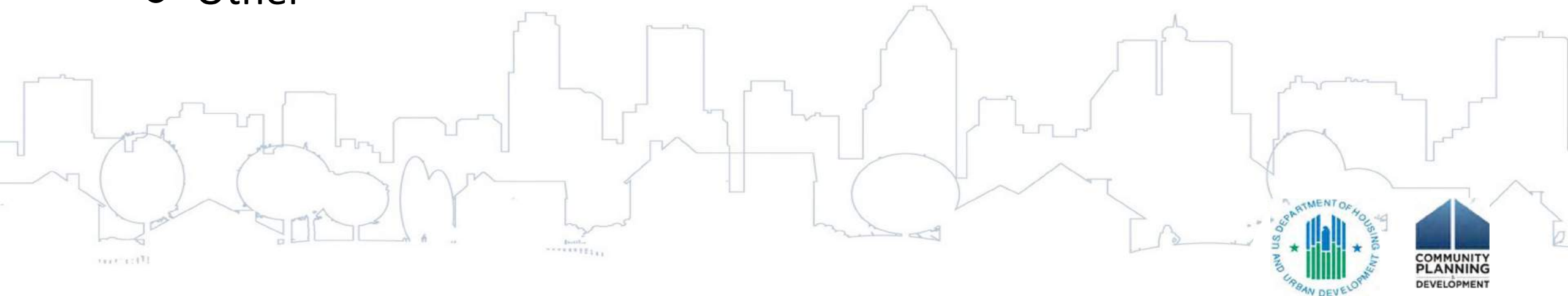
- Define the roles and responsibilities of the CoC vs. HMIS Leadership in HMIS governance
- Understand the importance of establishing strong HMIS governance to support HMIS operations and performance
- Identify key decision points when developing or strengthening an HMIS governance model, including the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



Tell Us About You

Raise your hand!

- Role:
 - HMIS Lead or System Administrator
 - CoC Lead or Board
 - Provider/HMIS End User
 - Other



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 equitable decision-making forums
 - Backed up by charters, by-laws, and other process documents
- **Governance of Performance**
 - Developing standardized monitoring and evaluation
 - Ensuring transparency, representation, 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
- Inequity and disparities
- Frustration!

Requirements of Governance

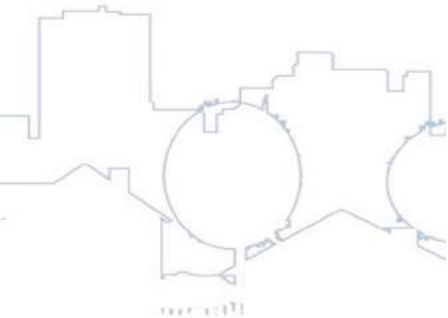
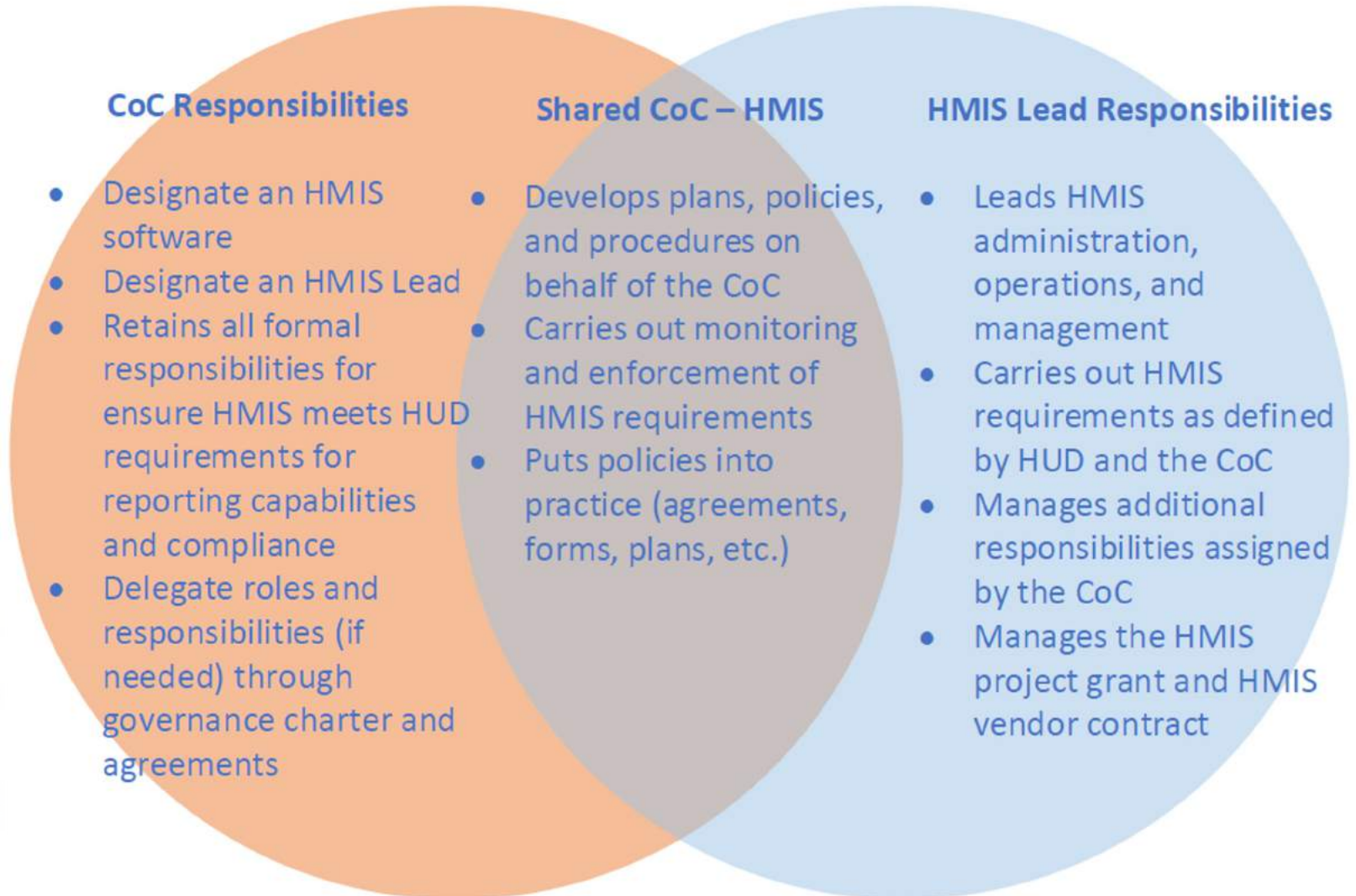
- The CoC must:
 - Designate a HMIS software
 - Designate the HMIS Lead
 - Review, revise, and approve a privacy plan, security plan, and data quality plan for the HMIS
 - Ensure consistent participation in the HMIS
 - Ensure the HMIS is administered in compliance with requirements prescribed by HUD
 - 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.

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

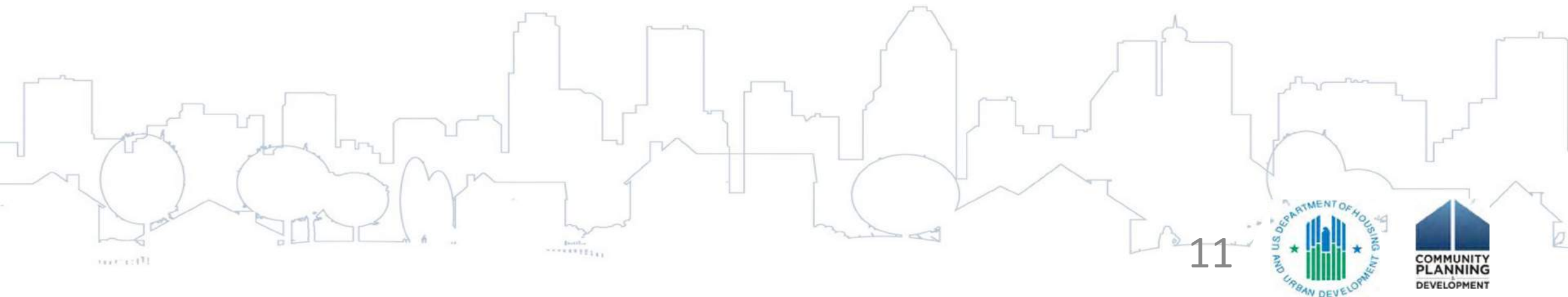
These requirements all rely on data!

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			

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Reporting to the CoC and to HUD	X		X	

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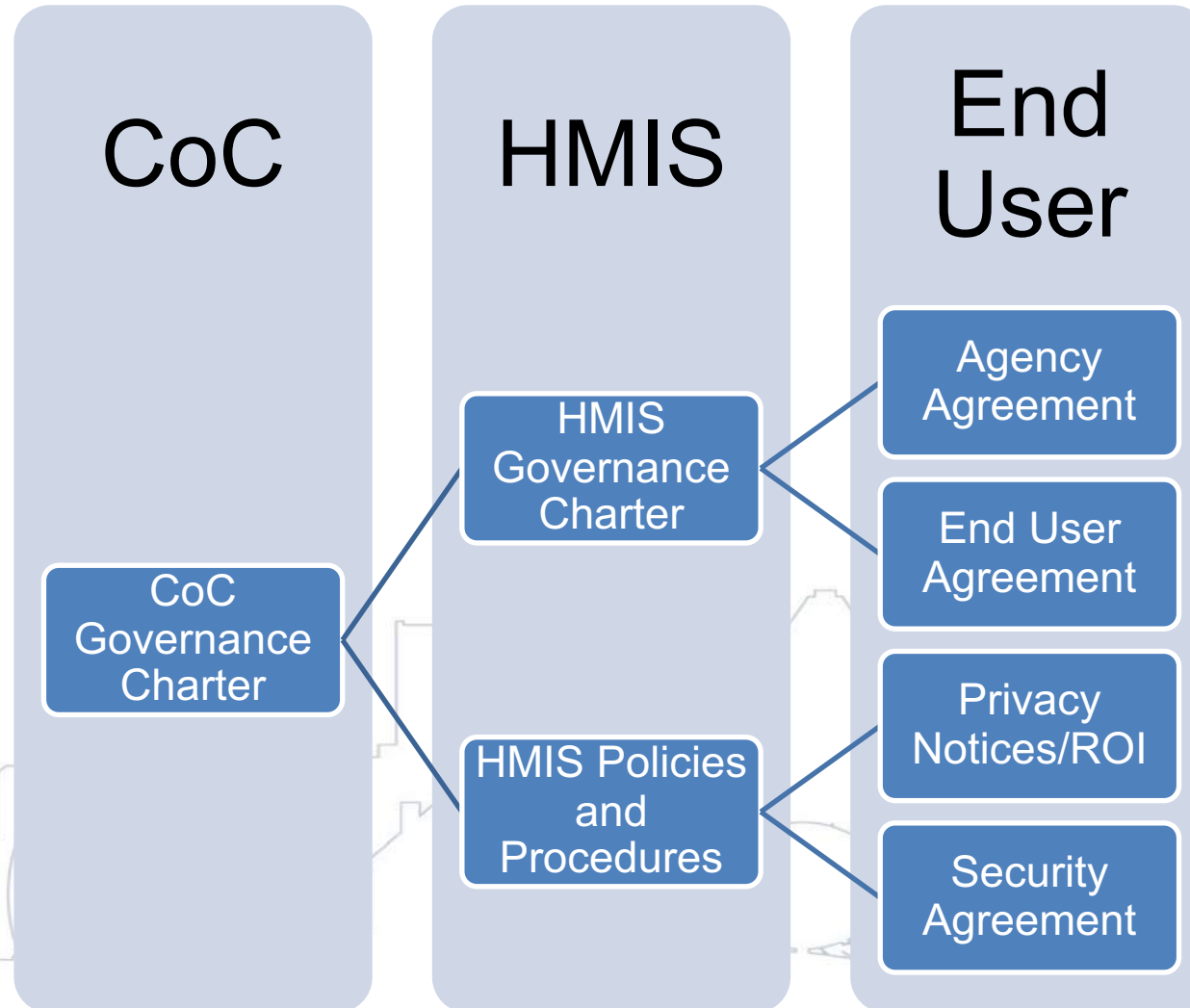
Activity or Task	HMIS Lead	CoC/Data Committee	CHO/Agency Administrator	External Vendor or Consultant
Monitoring Data Quality		X	X	X
Monitoring Privacy Settings		X	X	
Providing Training				X
Overseeing System Security	X			
Managing Project Set Up			X	X
Work Flow Configuration	X			X
Reporting to the CoC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

Clarifying Roles and Responsibilities

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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

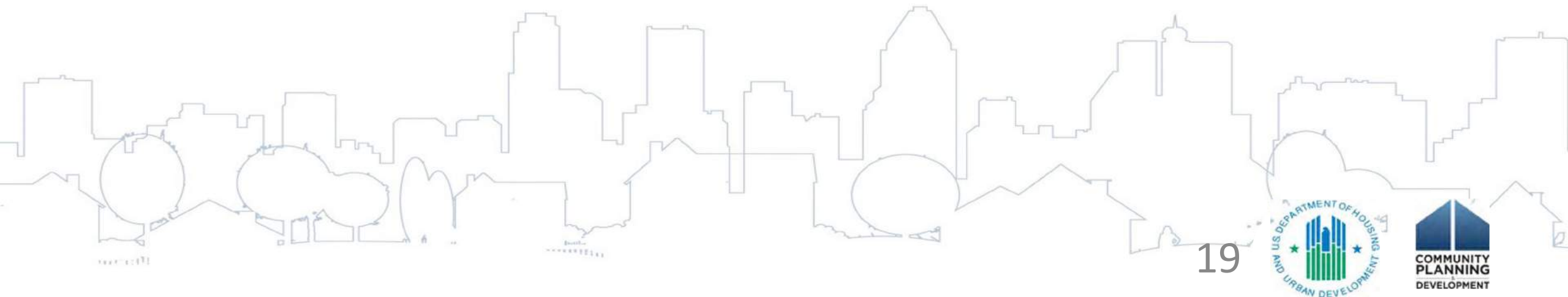
Putting Governance Into Practice

HMIS Governance Charter

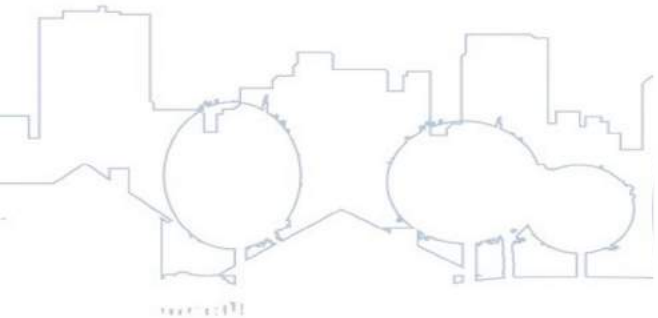
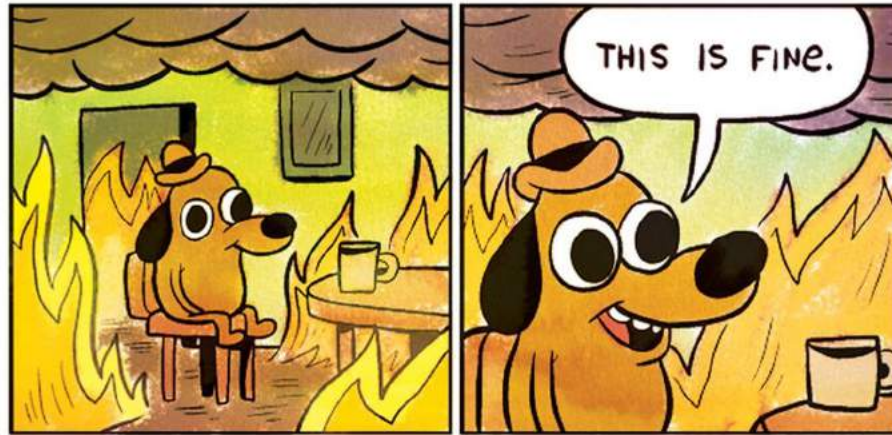
- Outlines the process the HMIS Lead will follow to develop and maintain required HMIS policies and standards related to functionality, privacy, security, and data quality
- Recommends HMIS Lead enter into written HMIS End User agreements with each CHO
- Specifies HMIS End User fee charged by the CoC(s) 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?



When Things Fall Apart: Evidence of Weak Governance Structures

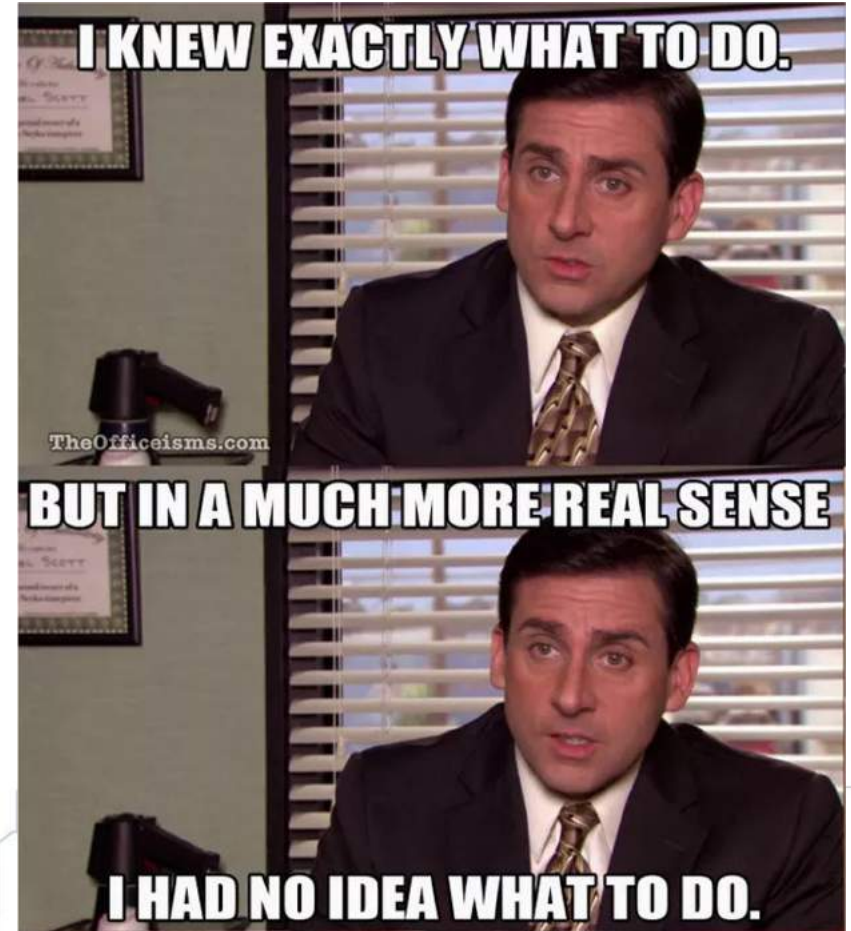
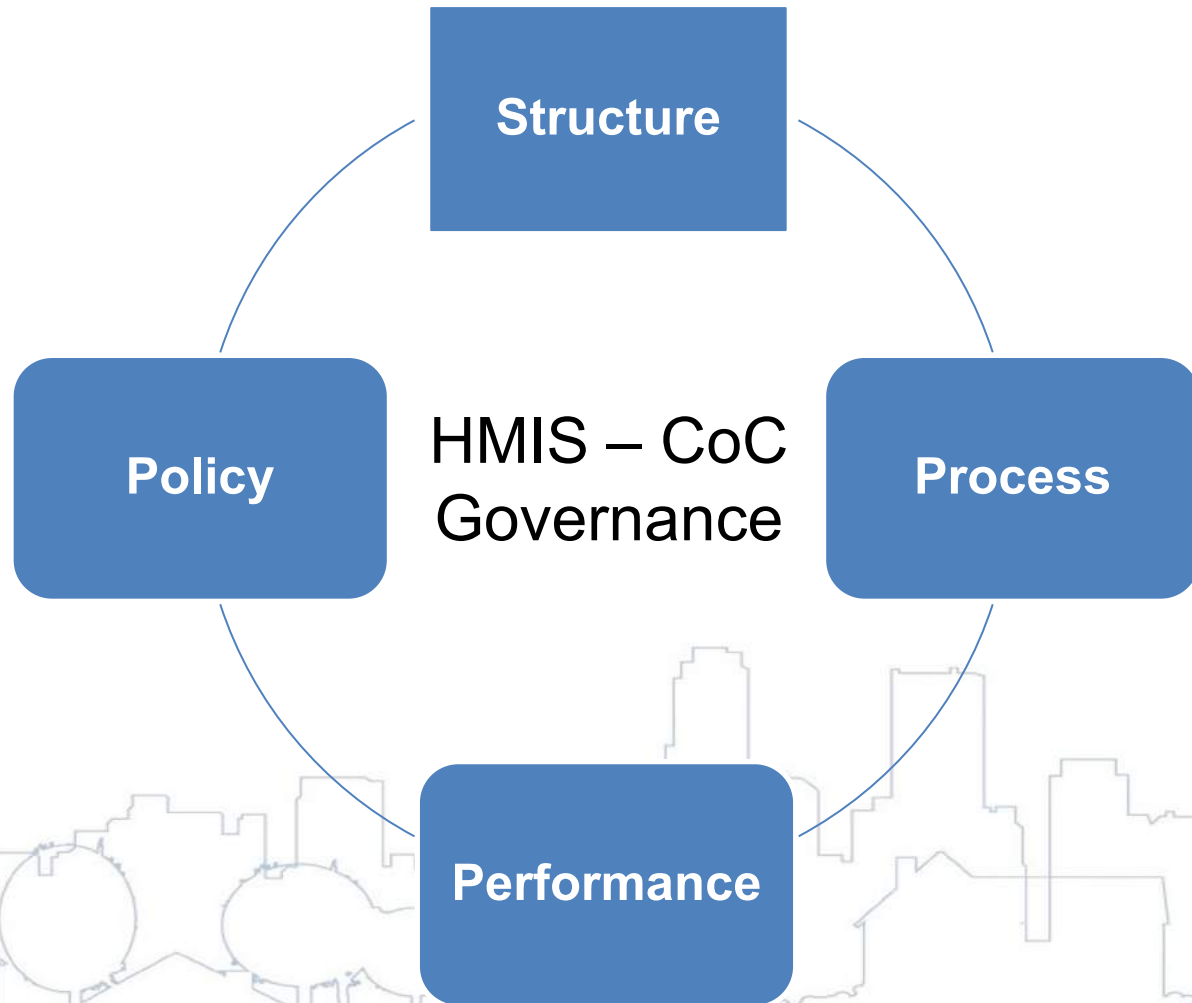


Case Study in Weak HMIS Governance

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?

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 an equity policy in place that is included in training and monitoring?
- 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

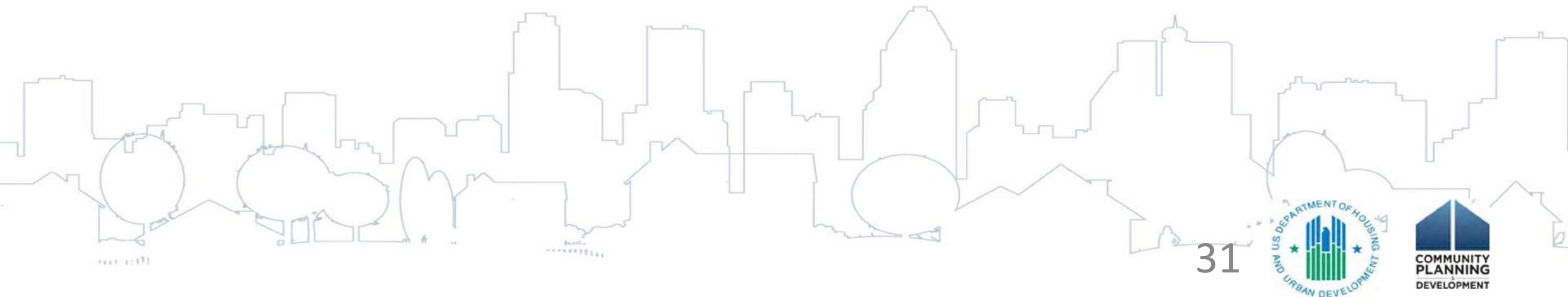
- What resources are used to support HMIS performance and how are these determined?
 - Consider training and help desk support, workflow improvements, administrative support, reporting and analytics
- How often does HMIS monitoring occur, and who is involved?
 - What are the results of the monitoring 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, Equitable 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

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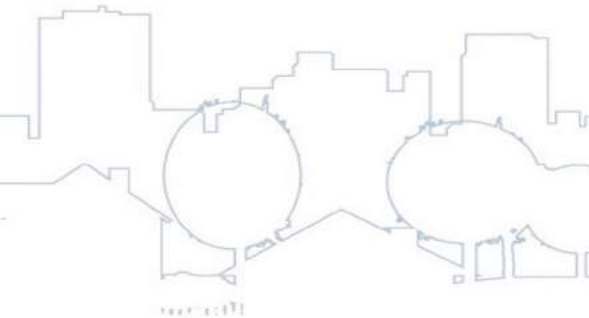
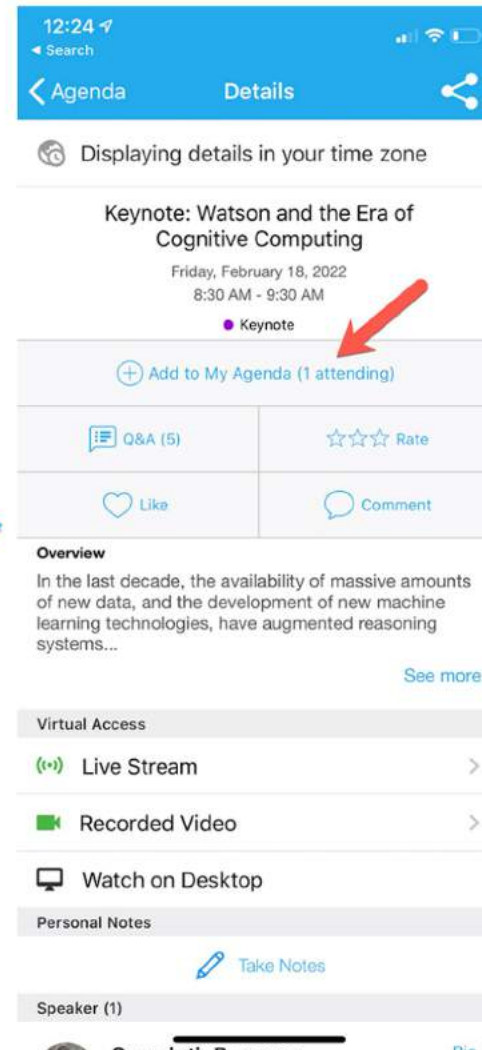
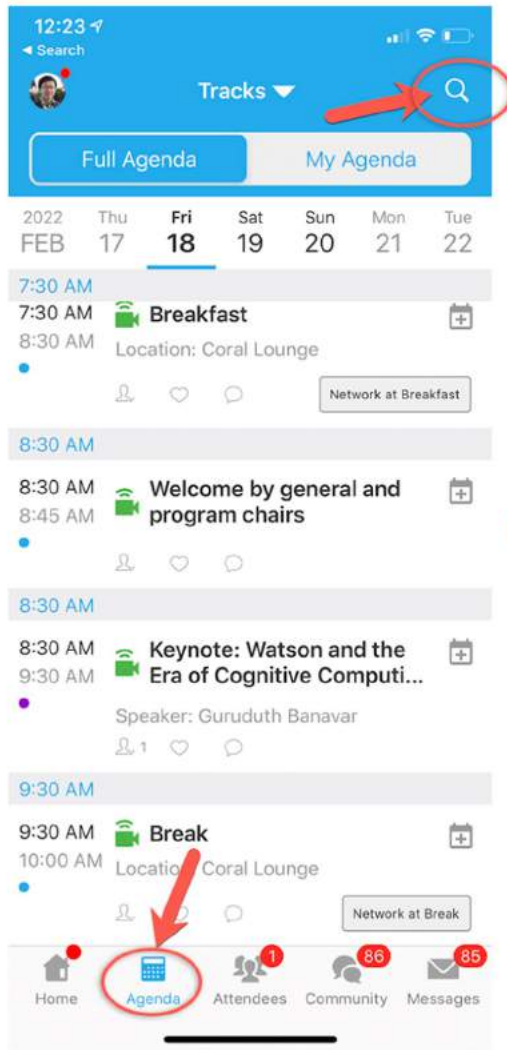
HUD HMIS Foundational Certificate

HUD is offering a certificate of completion for anyone who completes any four of the following six sessions at this NHSDC conference.

- HMIS Project Set-up 201
- HMIS Project Management and Annual Calendar of Expectations
- HMIS Governance 101
- Protecting Data in an HMIS Environment: Privacy, Security, and Confidentiality
- Implementing Effective Contract Negotiation and Relationship Management Strategies 201
- Data Quality 101: What is DQ?

Participants **must** complete the session evaluations for at least four sessions to receive their certificate.

Rate this Session!



Thank you!

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