



# HMIS Lead Monitoring

May 2020

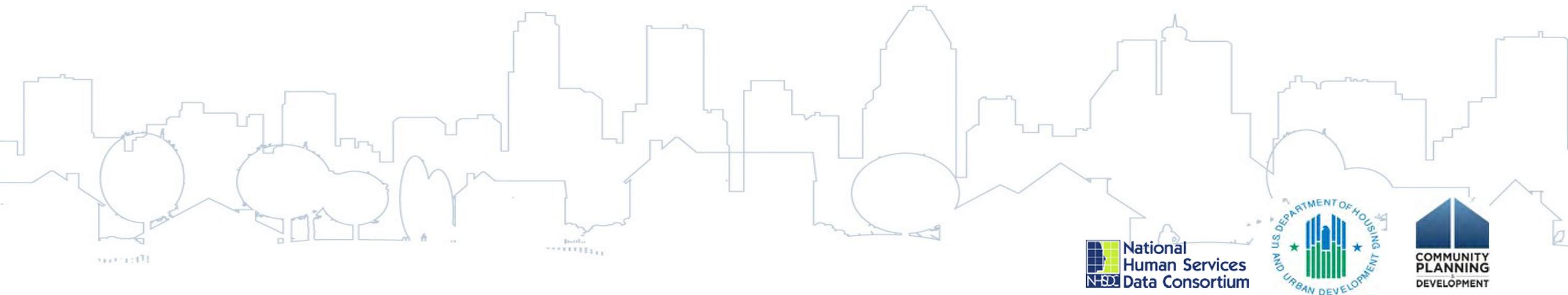
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# Webinar Instructions

- Webinar will last about 60 minutes
- Participants in 'listen only' mode
- Submit questions in Question and Answer box on right side of screen
- Webinar audio is provided through your computer speakers
- For technical issues, request assistance through the Question and Answer box
- Access to recorded version



# Learning Objectives

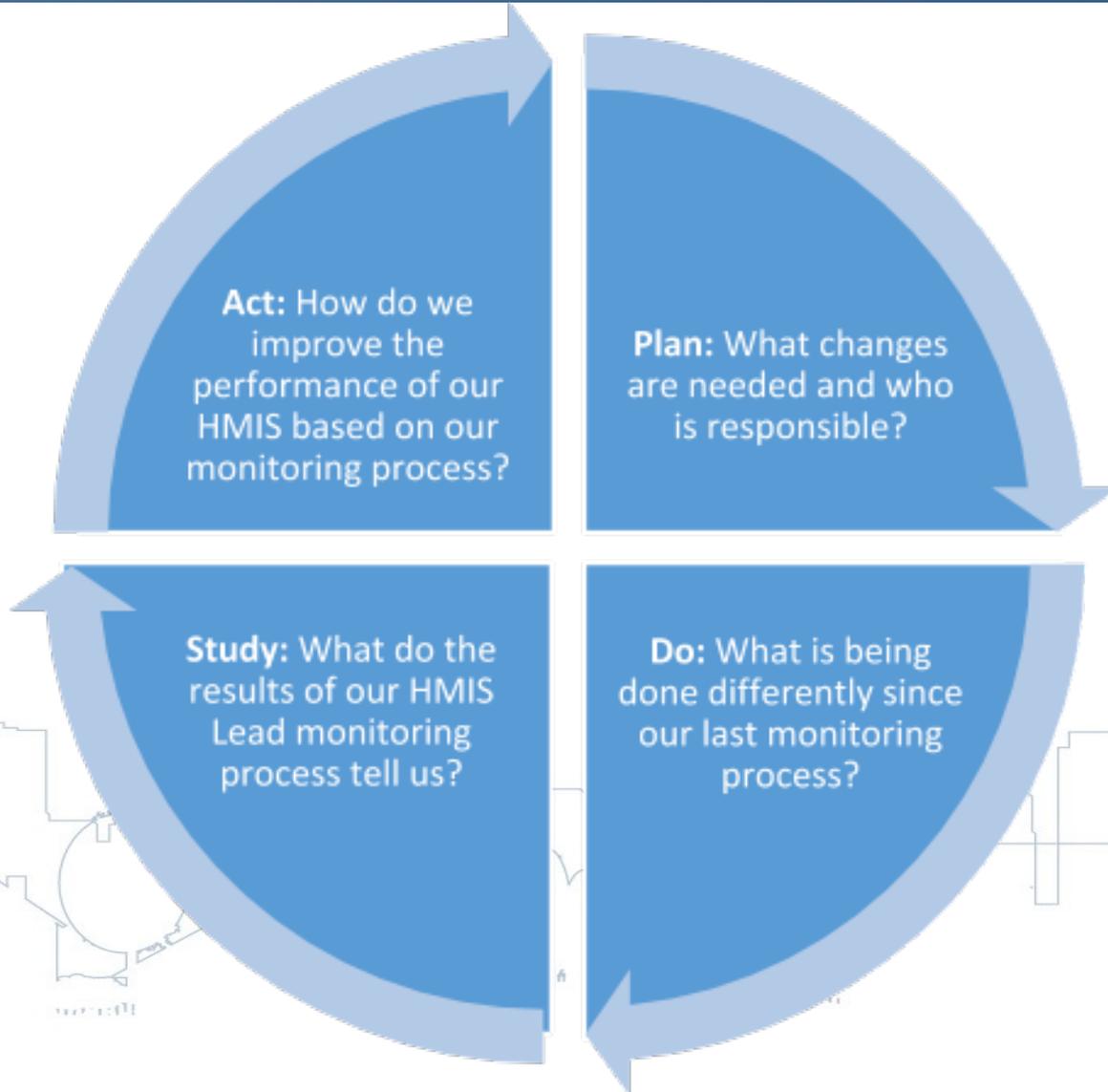
- Learn about the importance of a strategic monitoring and continuous quality improvement process to increase HMIS Lead capacity
- Understand the need for clarified roles and responsibilities
- Develop measureable outputs and outcomes to assess the performance of the CoC's HMIS Lead agency
- Understand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

# POLL!!

Q: What are other practical strategies you've put in place to start a monitoring process locally?

- Worked with CoC data stakeholders to define roles and responsibilities
- Updated HMIS governance charter and agreements
- Improved data management to track performance
- Created data dashboards that share performance across agencies
- Included HMIS data quality in CoC NOFA rating and ranking criteria

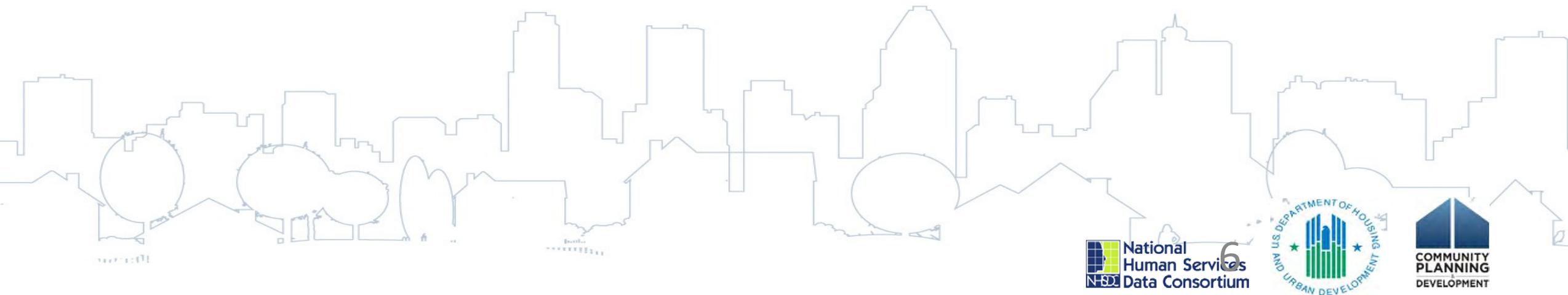
# The Purpose of Monitoring



- 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
- First ensures compliance
- Second improves performance

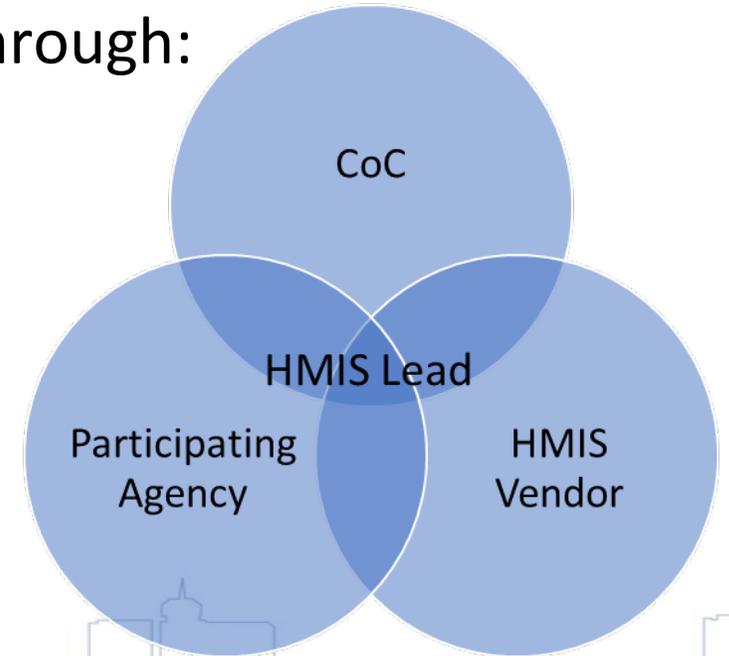
# The Purpose of Monitoring

- 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



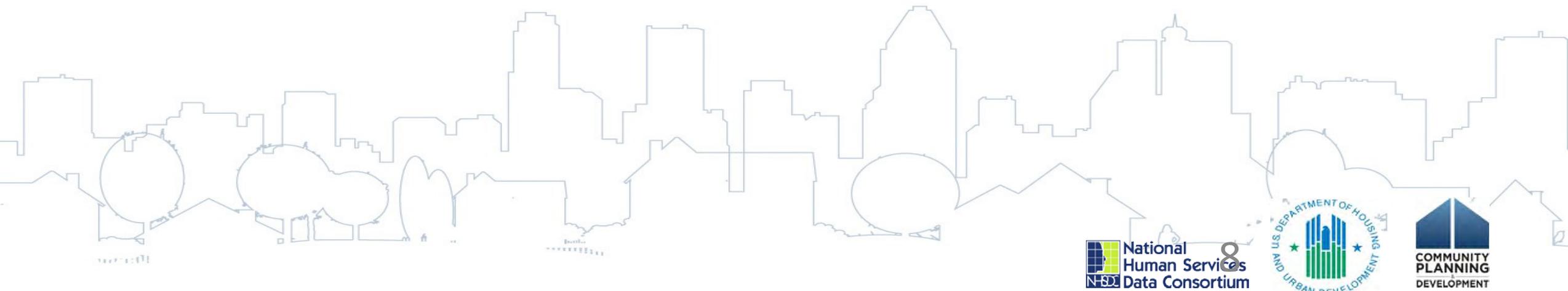
# The Purpose of Monitoring: Risk Mitigation

- 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



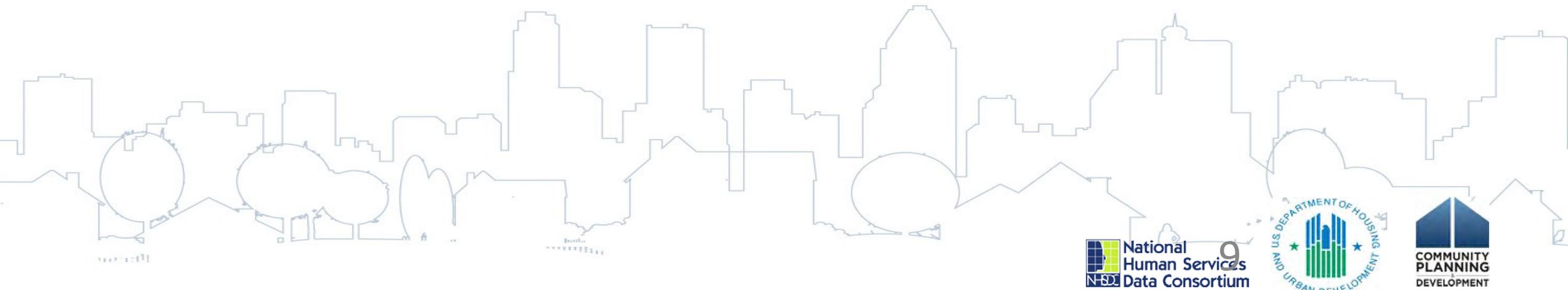
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  - “Does the HMIS Lead monitor all HMIS Participating Agencies for data quality?”

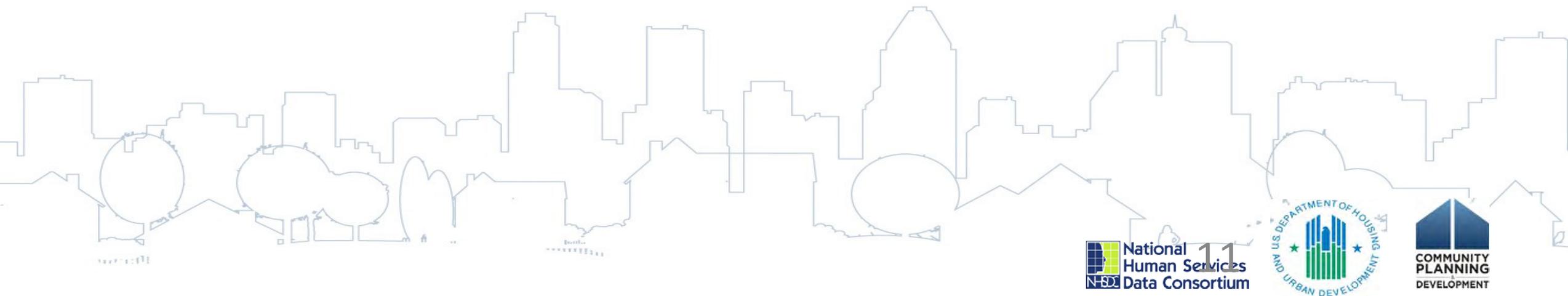


# The Purpose of Monitoring

- 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?”

# 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

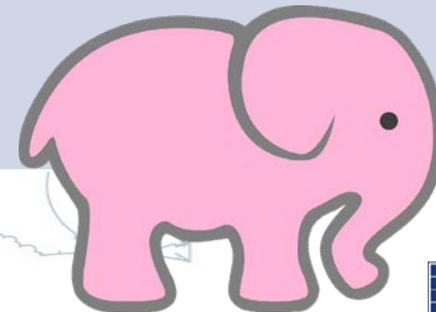


# Requirements of the HMIS Lead

- 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

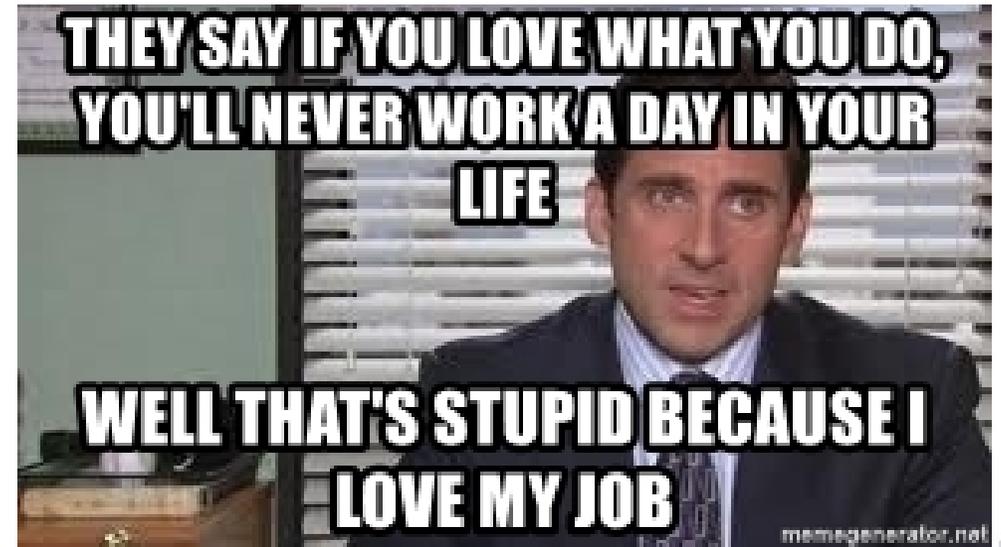
It's the CoC Leadership's Elephant	It's the HMIS Lead's Elephant	It's the Vendor's Elephant	It's HUD's Elephant
<p><b>§578.7(b) Designating and Operating an HMIS</b></p> <p>The Continuum of Care must:</p> <p>(1) Designate a single Homeless Management Information System (HMIS)...</p> <p>(2) Designate an eligible applicant to manage the Continuum's HMIS, which will be known as the HMIS Lead;</p> <p><b>Yes, and...</b></p>	<p><b>2 CFR 200 §200.318</b></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><b>Yes, and...</b></p>	<p><b>The Contract with Our Vendor Says...</b></p> <p>...that the software will be compliant with all HUD-defined HMIS requirements.</p> <p><b>Yes, and must be more specific than this in the eventual contract because...</b></p>	<p><b>HUD HMIS Requirements</b></p> <ul style="list-style-type: none"> <li>• Data collection (some)</li> <li>• Reporting (some)</li> <li>• Security and privacy (some)</li> </ul> <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>



# Clarifying Roles and Responsibilities

- Clearly defining roles and responsibilities across HMIS stakeholders is necessary to establish measurable baselines for:

- Administration
- Performance management
- Quality of service delivery



- *Keep in mind that your CoC must define which stakeholder is responsible for defining the 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	HMIS Participating Agency	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
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	HMIS Participating Agency	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	?	?	?	?

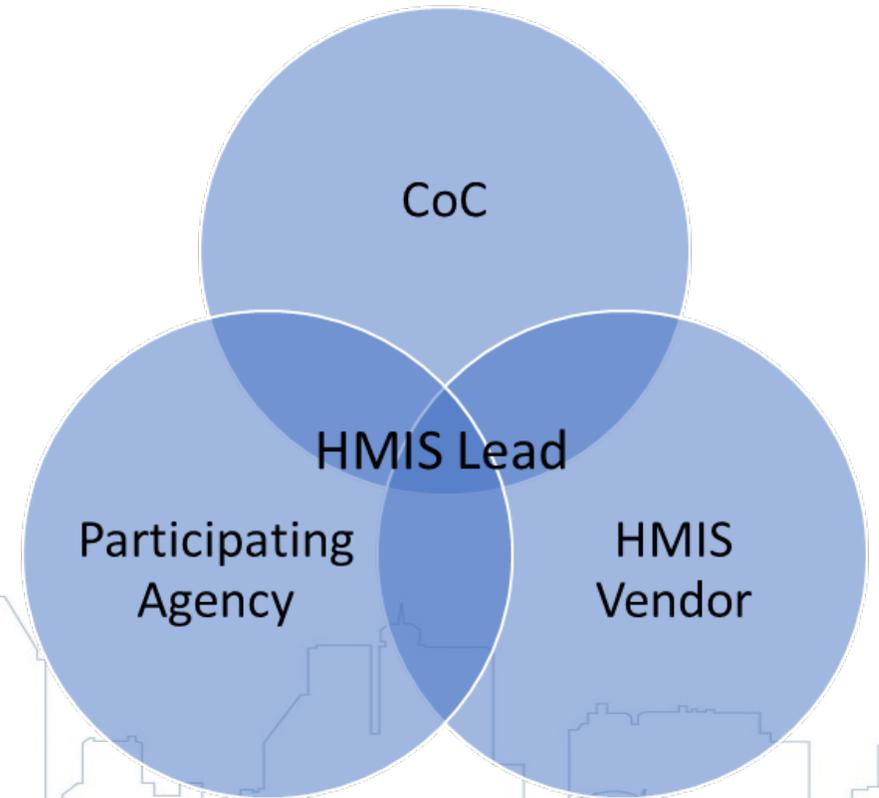
# Compliance vs. Performance Monitoring

- 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

# Compliance vs. Performance Monitoring

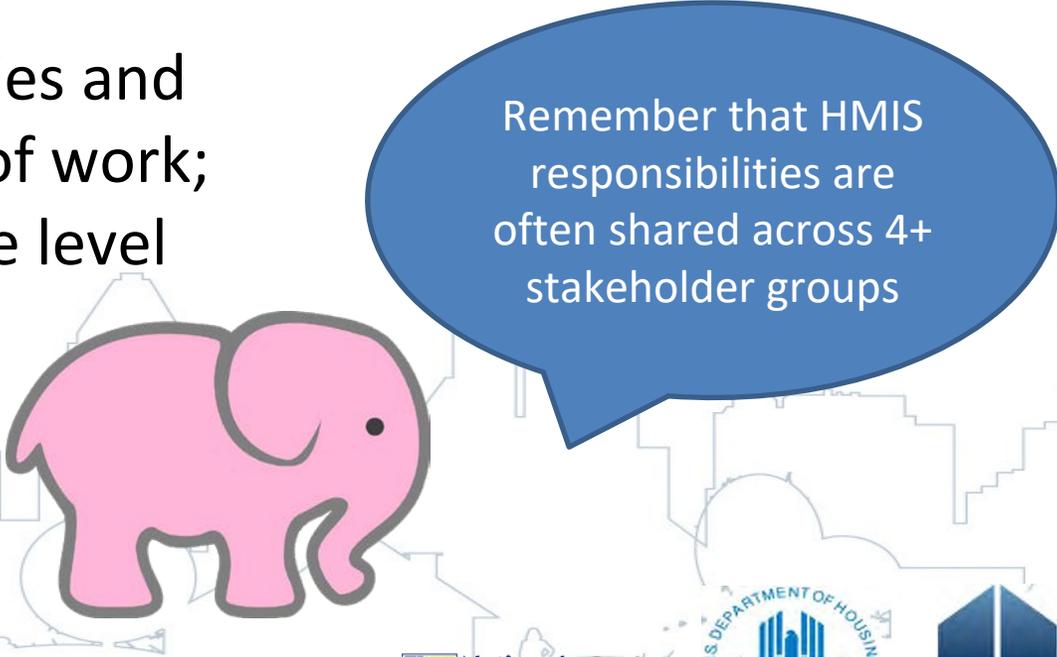
## Monitoring in a Shared HMIS Environment:

- HMIS Lead sits in a unique position in the CoC
- Roles and responsibilities are typically shared across multiple stakeholders
- Must be clear what the HMIS Lead is solely responsible for and what is shared prior to monitoring



# Practical Strategies for Developing Performance Monitoring

- Find HUD Requirements in:
  - CoC Program interim rule; HUD Notices, [Software](#) and [System Admin](#) Capacity Checklists
- Find Local Requirements in:
  - HMIS governance charter; HMIS policies and procedures; contracts or statements of work; Memoranda of Understanding; service level agreements; prior RFP requirements
- Start delineating Roles & Responsibilities demonstrated by this presentation



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

# Practical Strategies for Developing Performance Monitoring

- Review the Dedicated HMIS Annual Performance Report (APR) 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.
  - This is a starting point for those that don't have a place to start
  - This will change as you incorporate more requirements and understanding locally
  - Model the “Checklists” (from the previous slide links) and implement your own local versions

# 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
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# Practical Strategies: Ideas for a Monitoring Tool

- Policy and Planning: Does the HMIS Lead actively participate in and contribute to CoC policy and planning decisions, including providing reports on data quality and performance at the system-, agency-, and project-levels?
- System Administration: Does the HMIS Lead monitor license allocations across the CoC and license utilization at the agency and end user levels to ensure appropriate access to the system, in accordance with a documented methodology for HMIS end user license allocation as defined in HMIS Policies and Procedures?
- Reporting and Analysis: Does the HMIS Lead work collaboratively with the CoC to review HUD and Federal Partner reports, and address any data quality or report validation concerns, prior to report submission?

# Practical Strategies: Ideas for a Monitoring Tool

- **Monitoring and Evaluation:** Does the HMIS Lead monitor HMIS stakeholders (such as end users) to ensure that the privacy plan, security plan, and data quality for the HMIS have been accurately implemented and operationalized, and has data quality metrics improved during the monitoring period?
- **Training and Technical Support:** Does the HMIS Lead adequately respond to service desk tickets (timeliness and comprehensiveness of the response), as determined in the MOU, contract, or statement of work and in accordance with any defined escalation protocols?

# Practical Strategies: Ideas for a Monitoring Tool

- **Coordinated Entry Support:** Does the HMIS Lead work collaboratively with the CoC to enhance the CoC's use of HMIS to support coordinated entry prioritization and by-name list functionalities?
- **Communication and Capacity Building:** Does the HMIS Lead provide accurate and timely communication to HMIS stakeholders regarding changes to HUD's HMIS requirement or updates to the HMIS implementation by the vendor?

# Implementing an HMIS Lead Monitoring Process



# HUD Certificate of Completion

**Reminder:** HUD is offering a Certificate-of-Completion for completing four of the seven sessions within the HMIS Foundations track.

**To earn credit for completion of this session,** please make sure you included your contact details when the session began.

# Closing thoughts and discussion

## Contacts

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