HMIS 101: MODULE 1

History of HMIS

Data Standards Overview

Data Quality Concepts

Annual Performance Report (APR)

HMIS SYSTEM ADMINISTRATOR TRAINING SERIES

U.S. Department of Housing and Urban Development

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Purpose

- Provide HMIS System Administrators, end users, CoC representatives, consumers, and federal, state, and local partners with a basic understanding of:
  - History and Governance of HMIS
  - HMIS Data and Technical Standards
  - Data Quality Concepts
  - Annual Performance Report (APR)

Webinar Format

- This training is part of a series of trainings that will provide staff with the basic information needed to operate or participate in an HMIS

- It is anticipated that this series of trainings will be offered quarterly

- This training is anticipated to last 90 minutes

- Presenters will walk through presentation material

Submitting Questions

- ☐ Because of the high volume of participants, all participants will be muted throughout the presentation

- ☐ Questions can be asked during the webinar via the "Questions" pane of Go To Webinar

- ☐ All questions that we cannot reply to should be submitted via the Ask the Expert function on www.hmis.info

Webinar Materials & Evaluation

- Quick follow up survey will be emailed out after the webinar

- The webinar will be recorded, and all materials will be posted to the HUD HRE (www.HUDHRE.info)

Overview of Training Series

- HMIS 101 Modules I and II:
  - Module I: HMIS History, Overview of Data and Technical Standards, Data Quality Concepts, and CoC APR 101
  - Module II: Federal Partners, AHAR 101, and SHP-HMIS APR 101
- HMIS 101 Modules III, IV and V:
  - Module III: In-Depth Data Standards
  - Module IV: In-Depth Security, Privacy, and Governance
  - Module V: Data Quality Standard and Compliance Plans
- HMIS 201:
  - HMIS Budgeting and Staffing
  - PIT and HIC
  - Best Practice Highlights/ Use of Technology

HMIS 101

Overview of the history and fundamentals of the Homeless Management Information System (HMIS)

What is HMIS?

- A Homeless Management Information System (HMIS) is a *locally administered*, electronic data collection system that stores longitudinal person-level information about persons who access the homeless service system

- HMIS is HUD's response to a Congressional Directive to capture better data on homelessness

2001 Congressional Directive

- Recognizing the importance of community efforts to capture better data, in 2001 Congress directed HUD on the need for data and analysis on the extent and nature of homelessness and the effectiveness of the McKinney-Vento Act Programs including:
  - Developing unduplicated counts of clients served at the local level
  - Analyzing patterns of use of people entering and exiting the homeless assistance system
  - Evaluating the effectiveness of these systems
- HMIS became an eligible activity under 2001 SuperNOFA

Why HMIS is Important?

- ☐ National data on homelessness is critical for HUD reporting and informs key policy decisions

- ☐ Every CoC is required to implement an HMIS and is scored on this obligation as part of the annual CoC Competition.

- ☐ Local HMIS data can be used to inform local planning and drive the local decision making process

- ☐ HMIS can support individual case planning and service coordination among providers entering data

HMIS Benefits – What are they?
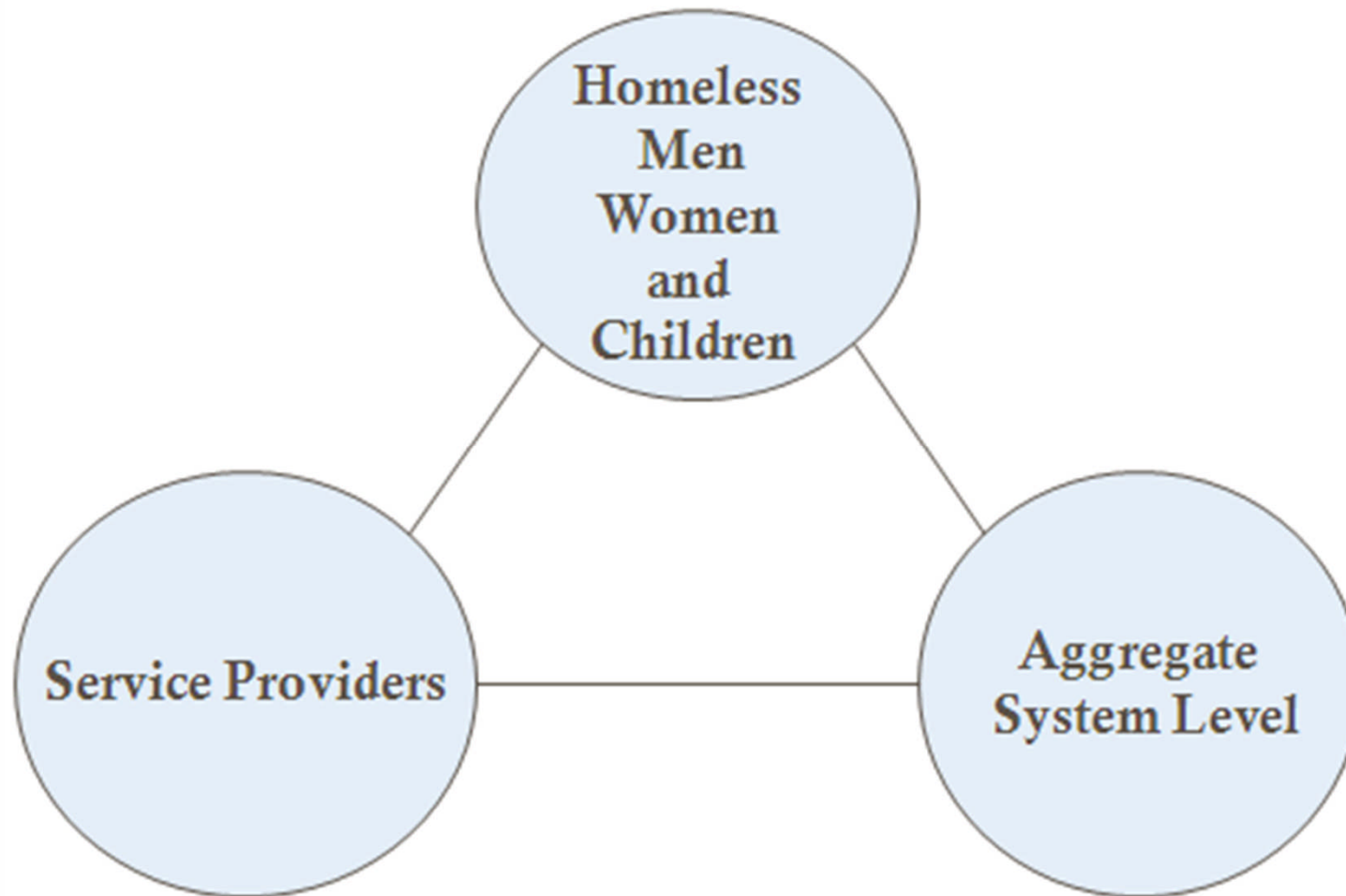
Benefits for Homeless Men, Women, and Children

- A decrease in duplicative intakes and assessments

- Streamlined referrals

- Coordinated case management

- Benefit eligibility

Benefits for Agency Directors and Program Managers

☐ Measuring client outcomes

☐ Coordinating services internally among agency programs and externally with other providers

☐ Preparing financial and programmatic reports for funders, boards, and other stakeholders

☐ Analyzing performance of programs

Benefits for Public Policy Makers and Advocates

☐ Understanding the extent and nature of homelessness

☐ Calculating Unduplicated counts of clients served

☐ Identifying service gaps

☐ Informing systems design and policy decisions

☐ Measuring the performance of the community system to prevent and end homelessness

HMIS Data Standards 101

A Brief Overview of HMIS Data and Technical Standards

History of HMIS Standards

- HMIS Data Standards were developed by focus groups of community stakeholders, researchers, technology experts and consumers

- Data and Technical Standards were initially published in July 2004

- Sections 2 and 3 of the original standard were replaced in March 2010 while the remaining sections of the 2004 standard remain in effect

- Focused on standards, not development of a system

History of HMIS Standards

- What the HMIS Standards Don't Do:
    - Set a specific software to be used
    - Limit a CoC or HMIS from requiring the collection additional data elements
    - Limit a CoC or HMIS from requiring additional client privacy and system security protections
    - Limit a CoC or HMIS from adding additional functionality (beyond HUD purposes)
    - Stay static (they are updated periodically)

HMIS Data Standards

- There are 3 data element categories outlined in the March 2010 Revised HMIS Data Standards
  - Program Descriptor Data Elements (PDDE)
  - Universal Data Elements (UDE)
  - Program-Specific Data Elements (PSDE)
- The Data Standards define specific, allowable responses for each data element
- **Not all the data in the Data Standard are required to be collected by every program**
- **Each program will collect at least a subset of data**

Program Descriptor Data Elements

2.1. Organization Identifier

2.2. Organization Name

2.3. Program Identifier

2.4. Program Name

2.5. Direct Service Code

2.6. Site Information

2.7. Continuum of Care Number

2.8. Program Type Code

2.9. Bed and Unit Inventory Information

2.10. Target Population A

2.11. Target Population B

2.12. Method for Tracking Residential Program Occupancy

2.13. Grantee Identifier

Universal Data Elements

3.1 Name

3.2 Social Security Number

3.3 Date of Birth

3.4 Race

3.5 Ethnicity

3.6 Gender

3.7 Veteran Status

3.8 Disabling Condition

3.9 Residence Prior to Program Entry

3.10 Zip Code of Last Permanent Address

3.11 Housing Status

3.12 Program Entry Date

3.13 Program Exit Date

3.14 Unique Person Identification Number

3.15 Household Identification Number

Program-Specific Data Elements

4.1 Income and Sources

4.2 Non-Cash Benefits

4.3 Physical Disability

4.4 Developmental Disability

4.5 Chronic Health Condition

4.6 HIV/AIDS

4.7 Mental Health

4.8 Substance Abuse

4.9 Domestic Violence

4.10 Destination

4.11 Date of Contact

4.12 Date of Engagement

4.13 Financial Services Provided

4.14 Housing Relocation & Stabilization Services Provided

4.15 Optional Data Elements

Data Collection Requirements

Exhibit 1-1: Summary of Program Descriptor Data Elements				
		When collected		
Data Standards	Program Applicability	Assigned once	Assigned once; reviewed annually	At least annually or more frequently if inventory or coverage changes
1 Organization Identifier	All CoC Programs	X		
2 Organization Name	All CoC Programs		X	
3 Program Identifier	All CoC Programs	X		
4 Program Name	All CoC Programs		X	
5 Direct Service Code	All CoC Programs	X		
6 Site Information	All CoC Programs		X	
7 Continuum of Care Number	All CoC Programs		X	
8 Program Type Code	All CoC Programs		X	
9 Bed and Unit Inventory Information	Residential CoC Programs Only			X
10 Target Population A (Optional for all programs)	All CoC Programs		X	
11 Target Population B	Residential CoC Programs Only		X	
12 Method for Tracking Residential Program Occupancy	Residential CoC Programs Only		X	
13 Grantee Identifier	HPRP Programs Only		X	

Security Requirements

□ System security provisions apply to all the systems where Personal Protected Information (PPI) is stored, including, but not limited to, networks, desktops, laptops, mini-computers, mainframes and servers

□ Security has three categories:

- System Security

- Software Application Security

- Hard Copy Security

Security Requirements

- System security
  - User Authentication
  - Virus Protection
  - Firewalls
  - Public Access
  - Physical Access
  - Disaster Protection and Recovery
  - Disposal
  - System Monitoring

Privacy Requirements

- Privacy Standards:
  - Protect client personal information from unauthorized disclosure
  - Seven components:
    - Collection limitations
    - Data quality
    - Purpose and use limitations
    - Openness
    - Access and Correction
    - Accountability

Privacy Standards Framework

- Personal Protected Information (PPI)
    - Includes name, SSN, program entry/exit, zip code of last permanent address, system/program ID, and program type
- Allow for reasonable, responsible data disclosures
- Derived from principles of fair information practices
- Borrowed from Health Insurance Portability and Accountability Act (HIPAA)

HMIS Standards

- The HMIS Data and Technical Standards provide a secure structure for collecting and reporting information on persons at-risk or experiencing homelessness

- The Standards are updated periodically to reflect advances in security and privacy and to meet the needs of new programs utilizing HMIS

- Adherence to HMIS data collection and data quality expectations will result in better data at the local level for planning

The Importance of Data Quality

- Data Quality is essential for HMIS and allows for:
  - Accurate reporting
  - Understanding of the nature and scope of homelessness
- Garbage In Garbage Out
- Essential to programs to accurately report on your program activities and your client outcomes
- Essential for community partners
  - Planning
  - Funding applications
  - Public awareness and education

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Basics of HMIS Governance for the CoC and HMIS System Administrator

Purpose of Governance

HMIS governance:

- Defines the relationship between the HMIS implementation and the CoC

- Formalizes roles and responsibilities

- Formalizes leadership and oversight expectations

- Provides structure for decision-making

This means formal, written agreements!

Governance Roles

- There are many different roles involved in operating an effective HMIS

- Roles and responsibilities are different for the following entities:
  - CoC
  - HMIS Lead Agency
  - Participating Programs
    - Data Collection
    - Data Entry

Governance Flowchart
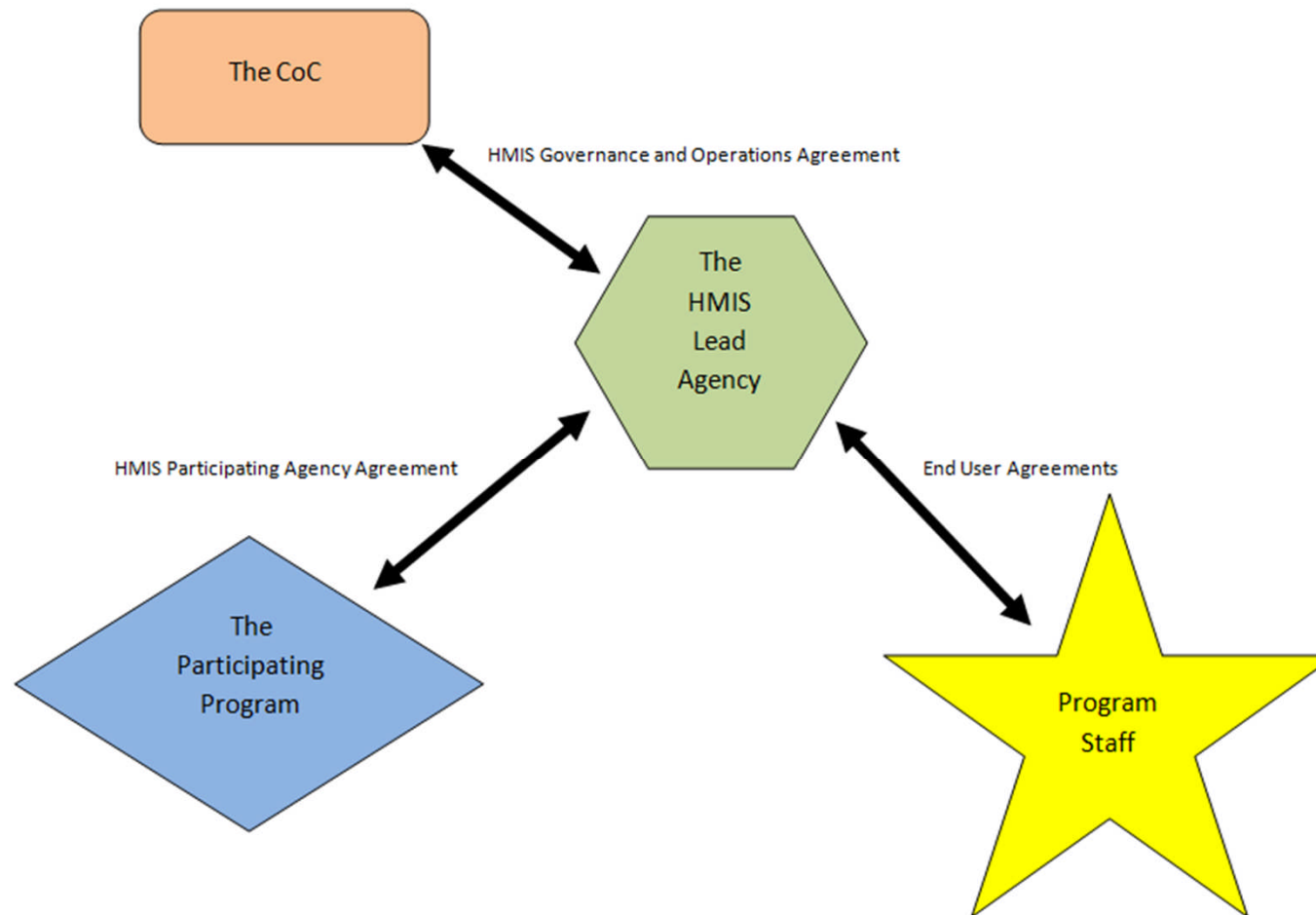
CoC Role

- HMIS Oversight

    - HMIS Standards Compliance

- Designate the HMIS Software

    - *There can only be ONE system designated as the HMIS*

    - **A CoC may include data from multiple systems (system integration, comparable databases, data warehousing, etc.)**

- Designate the HMIS Lead Agency

CoC Role

- Execute HMIS Governance Agreement
  - Written agreement between CoC Lead with the HMIS Lead Agency, specifying functions and responsibilities of the HMIS Lead Agency
  - Define responsibilities for management of HMIS
  - Define rights, obligations, timeliness, and transition procedures for HMIS governance, software, and data, in the event that the agreement is terminated
  - Update or renew annually

HMIS Lead Agency Role

- ☐ Administer the day-to-day operational functions of operating the HMIS

- ☐ Develop local HMIS policies and procedures

- ☐ Execute HMIS participation and end user agreements

- ☐ Monitor compliance with applicable HMIS standards

- ☐ Administer vendor agreements/contracts

- ☐ Conduct unduplicated accounting of homelessness

HMIS Lead Agency Role

☐ Develop and Implement Local HMIS Policies and Procedures

- ◻ HMIS Operational Policies and Procedures
- ◻ Data Quality Plan
- ◻ Security Plan
- ◻ Privacy Plan

Grantee Role

- Grantees are responsible for all activity associated with agency staff and use of the HMIS
  - CoC Participation
  - HMIS Participation and Governance
  - Privacy and Security Compliance
  - HMIS Policy and Procedure Compliance
  - Data Quality Compliance
  - Community Planning/ Use of Data

Grantee Role

- CoC Participation
  - Attend/Participate regularly in CoC meetings and workgroups
  - Represent your homeless population in planning process
  - Improve coordination with other service providers
  - Increase awareness of homeless needs
  - Identify additional resources for homeless
- HMIS Participation and Governance
  - HMIS Partner Participation Agreement
  - HMIS Agency Participation Agreement
  - HMIS End user Agreements
  - Client Consent

Grantee Role

☐ Privacy and Security Compliance

- ◻ Know HMIS Privacy and Security requirements
- ◻ Communicate HMIS Privacy and Security requirements to data custodians and system users
- ◻ Monitor regularly for compliance

☐ HMIS Policy and Procedure Compliance

- ◻ Establish business controls and practices to ensure compliance to HMIS policies
- ◻ Communicate HMIS policy and procedure requirements to data custodians and system users
- ◻ Monitor compliance and periodically review business controls and practices for effectiveness

Grantee Role

- Data Quality Compliance
  - Know Data Quality expectations for timeliness, completeness, and accuracy
  - Communicate Data Quality expectations to data custodians and end users
  - Monitor for compliance
  - Provide incentives; enforce policies
- Community Planning/ Use of Data
  - Provide quality data for community planning
  - Actively participate in planning process
  - Participate in Point In Time and Housing Inventory Processes

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Components of Data Quality and Data Quality Planning

Data Quality 101

- Data Quality Components
  - Definition of a record
  - Timeliness
  - Completeness
  - Accuracy
  - Monitoring
  - Incentives and enforcement
- The Data Quality Planning

Definition of a Record

- Purpose: To understand the complete set of data elements required to meet CoC and funding requirements

- Record definitions may be different depending on the program type

- Includes a list of the data elements expected to be collected

Timeliness

- ☐ **Rationale:**
  - ◘ Length of time between data collection and entry impacts the correctness of the data entered
  - ◘ Timeliness impacts accessibility when it is needed
- ☐ **Factors:**
  - ◘ Document, by program type, expectations for the length of time between data collection and entry
- ☐ **Special Issues/Exceptions:**
  - ◘ CoC may want to adopt different timelines for different programs

Completeness

- ☐ **Rationale:**
  - ▫ Completeness impacts client care and service delivery
  - ▫ Completeness impacts data analysis and report validity/confidence

- ☐ **Factors:**
  - ▫ Document, by program type, expectations for the completeness of data element sets
    - ■ All Clients Served
    - ■ Bed/Services Utilization

- ☐ **Special Issues/Exceptions:**
  - ▫ Include "Don't Know", "Unknown", and "Refused" as a category
  - ▫ Standard is likely to be different for different program types or subpopulations

Accuracy

- Rationale:
  - Reflects information as provided by client
  - Data is understood, collected, entered the same by all

- Factors:
  - Document, by program type, expectations for collecting and entering accurate data

- Special Issues/Exceptions:
  - Data validation practices
  - Consistency in data gathering forms
  - Regular training on data elements and definitions
  - Tools that achieve a common understanding of elements and responses

Monitoring

- Rationale:
  - Ensure the CoC's Standards are being met
- Factors:
  - Document expectation for monitoring activities and the methods data quality will be monitored
- Special Issues/Exceptions:
  - This is <u>not</u> the DQ Monitoring Plan
  - Outlines the general guidelines
  - Sets forth expectations and tasks in general terms

Incentives and Enforcement

- Rationale:
  - Reinforce importance of quality data through incentives and enforcement
- Factors:
  - List and describe incentive and enforcement measures for complying with the DQ Plan
- Special Issues/Exceptions:
  - Public recognition for compliance and/or progress
  - Bonus points on local scoring of funding applications
  - Funding impacts for non-compliance

Developing a Data Quality Plan

- ☐ Establishing Benchmarks and Goals

- ☐ Defining Roles and Responsibilities

- ☐ Establishing Timelines

- ☐ Calculating Compliance Rates

- ☐ Data Quality Reports

Establishing Benchmarks and Goals

- ☐ What is the data quality now? (the baseline)

- ☐ What should the data quality be? (the Standard)

- ☐ What are the interim goals? What are the acceptable goals over the time period to achieve the Standard?

- ☐ Make interim goals and compliance timelines realistic

Defining Roles and Responsibilities

- Four primary entities with roles and responsibilities in data quality management
  - CoC Executive Committee
  - Data Quality Subcommittee
  - HMIS Lead Agency
  - Providers
    - Intake/case management staff
    - Data entry staff
- Establish specific tasks that must be done each month to monitor progress
  - What, who

Establishing Timelines

- Make timelines for compliance realistic

- May be based on CoC goals (2011 AHAR contribution, HUD PULSE)

- Establish when specific tasks must be done each month to monitor progress

- Make data quality progress a standing agenda item at monthly CoC meetings

Data Quality Reports

- Needed to understand if data is entered timely, completely and accurately

- Generated regularly (monthly or more frequently)

- Have a process to allow for data correction prior to public recognition or CoC monthly review

Other Things to Think About...

- ☐ Outreach programs: include record building model in Data Quality Plan

- ☐ Definitions: include all definitions that might impact understanding or data quality

- ☐ Documentation: include processes for ensuring documentation of disabilities is present (PSDE)

- ☐ Include standards for other funding stream requirements (PATH, SOAR, VA, RHYMIS, etc.)

Calculating Compliance Rates

- Determined at Program and Program Type levels

- Program compliance rates: Compare completeness rates for each data element to acceptable rates established under the Completeness Section of the Standard for that Program's type (emergency shelter rates)

- Roll this rate up to an overall average across all program's of that type (average for all emergency shelters)

- Data Quality Plan Toolkit:

  - http://www.hudhre.info/documents/HUDDataQualityToolkit.pdf

APR 101

HUD's Annual Performance Report (APR)

New APR Requirements

- All APRs are now submitted electronically, via *e-snaps*

- Client, outcome, and performance measurement data must come out of HMIS or a comparable database (if a Victim Service Provider, as defined by the Violence Against Women's Act (VAWA))

- Data collection for the APR is based on the HMIS Data Standards (March 2010)

Working with Grantees

☐ Given the number of new requirements, it is important for HMIS SAs to work closely with grantees in their CoC(s) to ensure that they are accurately collecting data for the APR

☐ Among the new key changes:

- New Household and Client Types

- Updated or new response categories

- Data quality, bed and unit utilization

- New Performance Measurement Section

Household Types

New Household Type	Clients that are included
Households with Children and Adults	Households composed of at least two people; one of whom is an adult, and one who is a child
Households with Only Children	Households composed only of people age 17 and under, including unaccompanied children, or other household types that only include children (e.g. adolescent parents and their children, adolescent siblings)
Households Without Children	A household that does not include any children, including unaccompanied adults, multiple adults, and pregnant women not accompanied by other children
Unknown Household Type	Households composed of one or more persons where the age of a client(s) is not known, and therefore the household type cannot be determined)

Leavers and Stayers

- **Leaver:** Clients who exited the program during the operating year

- **Stayer:** Clients who were enrolled in the program on the last day of the operating year

  - Clients who exit and then re-enter before the end of the operating year, are considered stayers

HMIS SA Tip: Work with your HMIS vendor to ensure that they have programmed the APR in accordance with the CoC Programming Specifications. APR Test Kits on HRE will allow you and your vendor to test your HMIS' APR. Update local Trainings and Resources to include and explain the new APR, including these new terms.

Revised Response Categories

- HMIS data collection under the revised Data Standards began June 1, 2010

- Examples of questions with revisions:
    - Housing Status
    - Residence Prior to Program Entry
    - Gender

HMIS SA Tip: HMIS, paper data collection forms, training, and HMIS resources for your community should all be updated to reflect the new requirements

Bed and Unit Utilization

Bed Utilization Rate

Average daily utilization rate
during the operating year: `0%`

Point-in-Time bed utilization rate
on the last Wednesday in:

January `0%`
April `0%`
July `0%`
October `0%`

Unit Utilization Rate

Point-in-Time unit utilization rate
on the last Wednesday in:

January `0%`
April `0%`
July `0%`
October `0%`

Question 5 on the new APR asks for Bed and Unit Utilization rates. Grantees may not be in the habit of looking at this data on a regular basis, and it is critical that this data is reviewed in advance of the APR deadline

HMIS SA Tip: Review what this means with grantees, and ensure that HMIS is set up properly to accurately reflect the bed and unit utilization of your programs as most APRs are now done by TH and PSH programs

Data Quality

Q7. Data Quality	

Instructions: [show]

Definitions: [show]

* Total number of Clients:	
* Total number of Adults:	
* Total number of Unaccompanied Children:	
* Total number of Leavers:	

⭐ **HMIS SA Tip:** Create or update data quality reports to include all items listed in Q7 on the APR. Run these on for grantees a regular (e.g. quarterly) basis.

* HMIS or Comparable Database Data Quality

Data Element	Don't Know or Refused	Missing Data
First Name		
Last Name		
SSN		
Date of Birth		
Race		
Ethnicity		
Gender		
Veteran Status		
Disabling Condition		
Residence Prior to Entry		
Zip of Last Permanent Address		
Housing Status (at entry)		
Income (at entry)		
Income (at exit)		
Non-Cash Benefits (at entry)		
Non-Cash Benefits (at exit)		
Physical Disability (at entry)		
Developmental Disability (at entry)		
Chronic Health Condition (at entry)		
HIV/AIDS (at entry)		
Mental Health (at entry)		
Substance Abuse (at entry)		
Domestic Violence (at entry)		
Destination		

Performance Measurement Section

- Will not be live in *e-snaps* until 2012
- Includes two types of performance measures
  - HUD defined (by grant/component type)
  - Program defined (set during the Exhibit 2 process)

APR Reporting Deadlines

- CoC grantees have 90 days from the end of their operating years to submit the APR
  - Supportive Housing Program (SHP)
  - Shelter Plus Care (S+C)
  - Section 8 Moderate Rehabilitation Single Room Occupancy (SRO)

All CoC grants have distinct APR due dates

- HPRP grantees have 60 days from their operating year end date (September 30th) to submit the APR

All HPRP grants have an APR due date of November 30th

Transition APR

- SHP, S+C and SRO grantees with operating year end dates between July 1, 2010 and May 31, 2011 complete a Transition APR (TAPR) in *e-snaps*

- If HMIS vendor has not yet programmed the new APR, then grantees map data from their HUD-40118 APR to the TAPR in *e-snaps*

- TAPR does not include all questions in the new APR, and many response categories are not required

- TAPR Guidebook provides step-by-step instructions

Almost done with the TAPR!

APR Resources

- Guidebooks, eLearning modules, webinars, Frequently Asked Questions, and HUD Virtual Help Desk are all available on the HUD HRE for the APR

69 Next Steps and Resources

Next Webinar: Module 1, Part 2

- Friday, June 17, 2011from 3:00pm-4:30pm (EST): Separate registration is required

- Topics to be covered:

  - Federal Partners

  - AHAR 101

  - APR 101 (part 2 will focus entirely on the SHP-HMIS APR, for HMIS Dedicated grants)

Resources

- HMIS Data Standards (March 2010): http://www.hmis.info/ClassicAsp/documents/Final%20HMIS%20Data%20Standards-Revised%20_3.pdf

- www.hmis.info

- HUD Homelessness Resource Exchange: www.hudhre.info

- Data Quality Plan Toolkit:

  - http://www.hudhre.info/documents/HUDDataQualityToolkit.pdf

Thank you!