



**HUD Technical Assistance Conference
HMIS Planning and Implementation**

**Cesar Chavez Public Library
605 El Dorado Street
Stockton, CA**

**November 2, 2006
10:00a.m. – 2:00p.m.**

Facilitated by HomeBase, the Center for Common Concerns

1. **Welcome & Introductions**
2. **Discussion on continua's most burning HMIS issues**
3. **Self-Assessment Process:** National Technical Assistance Providers answer participant questions and target the specific issues and barriers experienced by participants in the HMIS planning and implementation process.

Break for lunch

4. **Self-Assessment Process (cont.)**
5. **Closing remarks and Assessment of Future TA Needs**

Community HMIS Self-Assessment Process

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Local and regional Continuum of Care planning structures often experience significant challenges and barriers in the implementation and management of Homeless Management Information Systems (HMIS). HUD has developed and/or organized Technical Assistance resources to address these issues. This *Community HMIS Self-Assessment Process* can help CoCs to understand what types of challenges they may be experiencing with HMIS and identify the TA resources that are available to address those challenges.

Purpose of Self-Assessment Process:

The *Community HMIS Self-Assessment Process* is a self-administered tool developed to assist communities with assessing their HMIS operations, management, compliance, and relative health and sustainability. The purpose of the Self-Assessment Process is to:

1. Highlight standard issues of importance for typical HMIS implementations
2. Identify specific issues or priority areas that may require attention
3. Direct communities to TA resources and materials that are available to address specific issues and barriers
4. Orient and prepare a community for an on-site TA visit, if appropriate.

Instructions for completing the process tool:

Who should participate in the assessment process?

This process is most effective when a broad-based group of CoC representatives participate. Although it is likely that the HMIS project team or staff will convene and/or facilitate the Self-Assessment Process, other partners such as CoC planning bodies, homeless assistance providers participating in the HMIS, homeless assistance providers who do not participate in the HMIS, funders of homeless and housing services, and anyone involved in the analysis, evaluation, or monitoring of homeless assistance projects are all important contributors to the process.

How does the Self-Assessment Process work?

The Self-Assessment Process is designed to work in conjunction with HUD's HMIS portal located at www.hmis.info. First, read through the statements in each category and identify with a check mark (✓) your community's status under the "no" "needs work" or "yes" columns. Items that are tagged as "Needs Work," or "No" should be highlighted for more deliberate and ongoing discussion. At the conclusion of the assessment survey, communities should review the checked items in the "Needs Work" and "No" columns and develop a plan to address each issue. The resources on the HMIS portal will be instrumental in helping your community to develop address any identified issues.

What do "no" "needs work" and "yes" mean?

- **No** means that the statement does not reflect the current status; that the described item is not completed yet; or, that a future risk has been identified.
- **Needs work** identifies an item that the community would like to improve; an item or area that is essential for successful HMIS projects but has not been identified as essential by the community; or, is in progress but not yet complete.
- **Yes** means the item is either satisfactorily completed; at a point where no further action is required; or, does not represent an anticipated barrier or deficiency in the community's long-term plan for successful HMIS implementation or operation.

Community HMIS Self-Assessment Process

How do I find TA resources for items identified as “No” or “Needs Work”?

HUD’s National HMIS Technical Assistance Team has organized HMIS TA materials and resources on the www.hmis.info website that can be searched using topic and subtopic key words. This tool associates www.hmis.info topics and subtopics with each assessment statement to make it easier for communities to identify TA materials and resources that can help them.

1. Log onto the www.hmis.info website.
2. Select the **Topic** link under the *Browse by section* on the portal.
3. After you’ve brought up the appropriate topics you can drill down further using the keywords highlighted in the relevant section of the **Self-Assessment Process** tool into the resource database to identify **Sub-topics**.
4. Following these Topic and Sub-topic key word guidelines should yield specific and pertinent results relevant to your issue area.

Technical Assistance:

One-on-one TA may be available to communities that have completed the **Self-Assessment Process**, identified areas for improvement, searched the resource library on www.hmis.info for relevant materials, and then followed up with their TA contact for additional support. Requests for TA can be made by selecting the green *Request Technical Assistance* button on the top banner of the www.hmis.info website.

Models for completing the process:

The HUD HMIS TA Team has designed this process to be used in a flexible and self-directed manner. CoCs may elect to conduct a single, one-time assessment to evaluate their HMIS implementation status at a particular point in time. Other CoCs may decide to complete the assessment on an ongoing basis to monitor the progress of their HMIS implementations over a longer period of time. The HUD HMIS TA Team has determined that the most effective way to use this tool is conduct at least semi-annual assessments in an effort to guide the implementation process. In this way, the **Self-Assessment Process** has the potential to guide HMIS implementations throughout the year by providing a structure for regular “check in” assessments.

Please note:

The **Self-Assessment Process** is not designed for HUD Field Office monitoring and should not be understood as a tool to gauge contract compliance for dedicated HMIS projects under HUD’s SHP grant program. Additionally, the **Self-Assessment Process** might inform a particular CoC’s status as it relates to implementation of HUD Data and Technical Standards for HMIS but the process cannot be used to monitor compliance with those standards. For a self-administered checklist to assess progress in implementing the HMIS Data and Technical Standards visit HUD’s HMIS portal for the Agency Checklist (<http://hmis.info/documents/Sys%20Admin%20Toolbox%20-%20Agency%20Data%20Standards%20Checklist%20v1.0.doc>) or the CoC Checklist (<http://hmis.info/documents/Sys%20Admin%20Toolbox-%20CoC%20Data%20Standards%20Checklist%20v1.0.doc>)

Community HMIS Self-Assessment Process

				Yes	Needs Work	No
A. Organizational Capacity and Governance						
1.	Community has a functioning HMIS planning group or decision-making structure (for governance and strategic direction).					
	Topic= Project Management Subtopic = Governance					
2.	The HMIS governance structure includes decision makers representing CoC interests of the community.					
	Topic = Project Management Subtopic = Governance					
3.	The lead HMIS organization has identified important and regular milestones for project implementation/managemenet/expansion.					
	Topic = Planning, Software Selection, and Vendor Negotiations Subtopic = Implementation Planning					
B. Community/ Provider Buy In						
1.	CoC providers can identify the goals/vision and value of HMIS.					
	Topic = Participation and Coverage					
2.	Providers who do not receive public funding (no HUD funding) participate in HMIS.					
	Topic = Participation and Coverage					
3.	Formerly homeless consumers are included in HMIS management and CoC planning decisions.					
	Topic = Project Management Subtopic = Governance , or Topic = Consumer Involvement					
4.	The HMIS lead organization receives support (buy in) from the community and is supported in making management and operational decisions regarding the HMIS.					
	Topic= Participation and Coverage , or Topic = Project Management Subtopic = Governance					
5.	The HMIS coverage rate (number of beds/service slots included in the HMIS expressed as a percentage of total community resources for homeless) is at or above 75%.					
	Topic= Introduction to HMIS: Topics, Terms, Congressional Direction , or Topic = Participation and Coverage					
	Emergency Shelter for Individuals – coverage at or above 75%					
	Transitional Housing for Individuals – coverage at or above 75%					
	Emergency Shelter for Families – coverage at or above 75%					
	Transitional Housing for Families – coverage at or above 75%					
6.	The community has assessed the overall impact on system-wide coverage due to the non-participation of providers who are not required to participate in HMIS.					
	Topic= Introduction to HMIS: Topics, Terms, Congressional Direction , or Topic = Participation and Coverage					
7.	Providers of domestic violence shelter services are engaged in participation discussions in the HMIS.					
	Topic= Special Populations Subtopic = Domestic Violence					

Community HMIS Self-Assessment Process

C. Technological Capacity	Yes	Needs Work	No
<p>1. HMIS users have access to adequate computer technology and tools such as Internet access, printers, data analysis software, etc..</p> <p>Topic = <i>Start-up - Planning, Software Selection, and Vendor Negotiations</i> ▯ Subtopic = <i>Implementation Planning</i></p>			
<p>2. HMIS users are competent users of computer technology.</p> <p>Topic = <i>Project Management</i> ▯ Subtopic = <i>Training and Technical Assistance</i></p>			
<p>3. The CoC/HMIS lead organization has evaluated technologies (PDA tools, scan cards, biometrics, etc.) that make HMIS a more useful tool for front-line staff and consumers or that increase efficiencies of program operations.</p> <p>Topic = <i>Technology Tools and Gadgets</i></p>			
D. Project Implementation Plan/Project Management Plan – Community document that serves as plan for HMIS development, implementation, operation, and ongoing management.	Yes	Needs Work	No
<p>1. The community has a management plan that generally identifies roles, tasks, and timelines for current HMIS activities.</p> <p>Topic = <i>Project Management</i> ▯ Subtopic = <i>Governance</i>, or Topic = <i>Planning, Software Selection, and Vendor Negotiations</i> ▯ Subtopic = <i>Implementation Planning</i></p>			
<p>2. The community has drafted a <i>Requirements Document</i> that identifies HMIS goals, objectives, and development activities that inform future expansion priorities.</p> <p>Topic = <i>Start-up - Planning, Software Selection, and Vendor Negotiations</i> ▯ Subtopic = <i>Implementation Planning</i></p>			
<p>3. The <i>Requirements Document</i> includes implementation action steps, timeframes, management strategies, and risk mitigation planning?</p> <p>Topic = <i>Start-up - Planning, Software Selection, and Vendor Negotiations</i> ▯ Subtopic = <i>Implementation Planning</i></p>			
<p>4. The community has completed HMIS set-up for each agency (equipment set-up, setting up agency/program profiles in the software, agency administrator and user training).</p> <p>Topic = <i>Start-up - Planning, Software Selection, and Vendor Negotiations</i> ▯ Subtopic = <i>Implementation Planning</i></p>			
E. HMIS Software and System Design	Yes	Needs Work	No
<p>1. The community has selected HMIS software.</p> <p>Topic = <i>Start-up - Planning, Software Selection, and Vendor Negotiations</i> ▯ Subtopic = <i>Software Selection or Transition</i></p>			
<p>For new implementations...</p> <p>2. The HMIS software meets the functional requirements identified by the community.</p> <p>Topic = <i>Start-up - Planning, Software Selection, and Vendor Negotiations</i> ▯ Subtopic = <i>Software Selection or Transition</i></p>			
<p>3. The HMIS software and system design are compliant with HUD Data and Technical Standards.</p> <p>Topic = <i>Start-up - Planning, Software Selection, and Vendor Negotiations</i> ▯ Subtopic = <i>Software Selection or Transition</i>, or Topic = <i>Regulations, Legislation and Reports to Congress</i> ▯ Subtopic = <i>HMIS Data and Technical Standards</i></p>			
<p>For mature implementations...</p> <p>4. The community has an annual process to assess software functioning and ongoing appropriateness and for local agency needs.</p> <p>Topic = <i>Start-up - Planning, Software Selection, and Vendor Negotiations</i> ▯ Subtopic = <i>Software Selection or Transition</i></p>			
<p>5. The HMIS software is regularly serviced, updated, enhanced by the vendor/solution provider.</p> <p>Topic = <i>Start-up - Planning, Software Selection, and Vendor Negotiations</i> ▯ Subtopic = <i>Vendor Negotiation</i></p>			

Community HMIS Self-Assessment Process

6.	If the HMIS is hosted locally (database physically located in community), the server operations are sufficiently protected, backed-up, and maintained. Topic = Project Management ¶ Subtopic = System Administration , or Natural Disaster Plan and Recovery documents will be available on the HMIS portal in September '06			
7.	The community has defined strategies for HMIS data backup and disaster recovery. Natural Disaster Plan and Recovery documents will be available on the HMIS portal in September '06			
F. Privacy/ Security/ Confidentiality		Yes	Needs Work	No
1.	The community has defined a CoC privacy approach that is supported and adopted by all participating HMIS agencies? Topic = Privacy, Consent, Legal and Ethics Issues ¶ Subtopic = General Privacy Resources			
2.	Each HMIS participating program has adopted a client consent protocol or notification process that is supported and consistent with the CoC approach. Topic = Privacy, Consent, Legal and Ethics Issues ¶ Subtopic = Client Forms			
3.	The community has identified appropriate exceptions to the consent and/or notification protocols (potential differences for DV population or other subpopulations). Topic = Special Populations			
4.	If client data are shared among different provider agencies, interagency data sharing agreements are executed for all sharing parties. Topic = Privacy, Consent, Legal and Ethics Issues ¶ Subtopic = Agency/User Forms			
5.	The community has reviewed applicable local, state, and funder-specific statutes, laws, or regulations that impact client data management in an HMIS (HIPAA, domestic violence, youth). Topic = Privacy, Consent, Legal and Ethics Issues ¶ Subtopic = Legal Issues			
G. Data Sharing		Yes	Needs Work	No
1.	The community has defined a level of default data sharing (if supported by the software) for the community. Topic = Project Management ¶ Subtopic = Standard Operating Procedures (SOP) , or Topic = Privacy, Consent, Legal and Ethics Issues ¶ Subtopic = Agency/User Forms			
2.	The community has established protocols to implement exceptions to default data sharing (e.g. client did not provide consent to share). Topic = Privacy, Consent, Legal and Ethics Issues ¶ Subtopic = Client Forms			
3.	Client data sharing protocols/processes are functioning successfully among different provider types and among different participating agencies? Topic = Privacy, Consent, Legal and Ethics Issues			
H. Training		Yes	Needs Work	No
1.	All HMIS users have received initial training on basic HMIS use, protocols, policies and procedures. Topic = Project Management ¶ Subtopic = Training and Technical Assistance Models			
2.	Beyond the initial training, follow-up training opportunities for HMIS users are available. Topic = Project Management ¶ Subtopic = Training and Technical Assistance Models			
3.	HMIS users have the opportunity to participate in regular user meetings. Topic = Project Management → Subtopic = Governance			

Community HMIS Self-Assessment Process

4. HMIS users receive regular and sufficient (semi-annual or annual) training or communication on business practices to support CoC and HMIS policies (these might include CoC-specific protocols, ethics, strategies for communicating consent protocols to clients). Topic = <i>Project Management</i> Subtopic = <i>Training and Technical Assistance Models</i>			
I. Data Quality			
	Yes	Needs Work	No
1. The HMIS is able to generate an unduplicated count of homeless system users. Topic = <i>Reporting, Data Analysis and Uses of Data</i> → Subtopic = <i>Unduplicated Counts</i>			
2. The community has defined data quality standards for data accuracy, timely collection, and completion of data elements within a client's record. Topic = <i>Reporting, Data Analysis and Uses of Data</i> Subtopic = <i>Data Quality and Quality Assurance Monitoring</i>			
3. The community has implemented a quality assurance process for monitoring accurate, timely, complete data collection practices and improving deficiencies that are identified. Topic = <i>Reporting, Data Analysis and Uses of Data</i> Subtopic = <i>Data Quality and Quality Assurance Monitoring</i>			
4. HMIS data can be used to produce the point-in-time sheltered count required by the CoC process? Topic = <i>Reporting, Data Analysis and Uses of Data</i> Subtopic = <i>Point-in-time Counts</i>			
J. Reporting			
	Yes	Needs Work	No
1. The HMIS can produce basic client data reports (clients served summary, APR, utilization reports). Topic = <i>Reporting, Data Analysis and Uses of Data</i> Subtopic = <i>Data Analysis and Research Methods</i>			
2. The HMIS software allows users to define unique queries and extract data for analysis. Topic = <i>Start-up - Planning, Software Selection, and Vendor Negotiations</i> Subtopic = <i>Software Selection or Transition</i>			
3. Program managers at each participating HMIS program have access to report writing functionality within the HMIS. Topic = <i>Reporting, Data Analysis and Uses of Data</i> Subtopic = <i>Reporting and Using HMIS Data</i>			
K. Operational Data Uses			
	Yes	Needs Work	No
1. HMIS data supports needs assessment, system-wide planning, and prioritization discussions such as preparation of CoC Exhibit 1 application. Other operational uses such as reduced duplicative intake, improved coordinated case management, streamlined referrals, and improved access to benefits are enabled. Topic = <i>Reporting, Data Analysis and Uses of Data</i>			
2. The community uses HMIS data for system evaluation and program performance measurement. Topic = <i>Reporting, Data Analysis and Uses of Data</i> Subtopic = <i>Program Evaluation and Performance Measurement</i>			
L. Data Integration			
	Yes	Needs Work	No
1. If applicable, the community has identified individual provider agencies that will participate in HMIS data collection if data integration strategies are supported. Topic = <i>Data Warehousing and Integration</i>			
2. If applicable, the HUD-defined XML schema or CSV format for data extraction and transfer has been reviewed and adopted by the HMIS. Topic = <i>Data Warehousing and Integration</i>			

Community HMIS Self-Assessment Process

3. If applicable, the community has developed a plan to integrate or is already merging existing sources of data into the HMIS database or a central data repository. Topic = <i>Data Warehousing and Integration</i>			
M. Funding			
	Yes	Needs Work	No
1. The community has developed a complete HMIS budget. Topic = <i>Grant Requirements, Funding and Contracting</i> Subtopic = <i>HMIS Budgets</i>			
2. Current operational funding is adequate to support the HMIS project. Topic = <i>Grant Requirements, Funding and Contracting</i> Subtopic = <i>SHP Grants</i>			
3. Future expansion of the HMIS to new agencies or providers has been included in the budget planning projections. Topic = <i>Grant Requirements, Funding and Contracting</i> Subtopic = <i>HMIS Budgets</i>			
4. The community has assessed complete HMIS funding needs and has developed an ongoing resource development strategy. Topic = <i>Grant Requirements, Funding and Contracting</i> → Subtopic = <i>HMIS Budgets</i>			
N. Project Staffing			
	Yes	Needs Work	No
1. The HMIS project has a director, manager, or project leader. Topic = <i>Project Management</i> Subtopic = <i>Staffing</i>			
2. The HMIS project staff is supported by a larger advisory council or committee that is integrated into CoC decision making. Topic = <i>Project Management</i> Subtopic = <i>Governance</i>			
3. The Project Management Plan includes future costs, personnel needs, and timing for future functionality upgrades. Topic = <i>Project Management</i> Subtopic = <i>Project Management Plans</i>			
4. All HMIS project management functions are staffed with the appropriate skill sets or otherwise accounted for from borrowed or shared staff. Topic = <i>Project Management</i> Subtopic = <i>Project Management Plans, or Staffing</i>			
5. Current staff levels and time allocations are appropriate to sufficiently serve the size and scope of the HMIS project. Topic = <i>Project Management</i> Subtopic = <i>Project Management Plans, or Staffing</i>			