

HUD Question ID	Rule
1.1 HMIS Lead Req	Responsibilities of the Continuum of Care S.578.7(b)(2)
1.2 HMIS Lead Req	CoC Program interim rule definition of “eligible applicant” and S.578.15(a)
1.3 HMIS Lead Req	Responsibilities of the Continuum of Care S.578.7(a)(5)
1.4 HMIS Lead Req	Responsibilities of the Continuum of Care S.578.7(a)(6)
1.5 HMIS Lead Req	Responsibilities of the Continuum of Care S.578.7(a)(7)
1.6 HMIS Lead Req	Responsibilities of the Continuum of Care S.578.7(b)(3)
1.7 HMIS Lead Req	Responsibilities of the Continuum of Care S.578.7(b)(4)
1.8 HMIS Lead Req	Responsibilities of the Continuum of Care S.578.7(b)(5)
1.9 HMIS Lead Req	CoC Program interim rule Homeless Management Information System 578.57(a)(2)
1.10 HMIS Lead Req	CoC Program interim rule Timeliness Standards S.578.85(c)(3)
1.11 HMIS Lead Req	CoC Program interim rule Sanctions S. 578.107(a) (1)
1.12 HMIS Lead Req	2 CFR 200
1.13 HMIS Lead Req	CoC Program interim rule requirements on Conflicts of Interest at 578.95 and Recordkeeping Requirements at 578.103(a)(11)
1.14 HMIS Lead Req	HMIS Data Standards Manual
1.15 HMIS Lead Req	HMIS Data Standards Manual
2.1 HMIS Governance	Locally determined

2.2 HMIS Governance

2.3 HMIS Governance

2.4 HMIS Governance

3.1 Sys Admin

3.2 Sys Admin

3.3 Sys Admin

3.4 Sys Admin

3.5 Sys Admin

4.1 Policy Dev & Implementation

4.2 Policy Dev & Implementation

4.3 Policy Dev & Implementation

4.4 Policy Dev & Implementation

4.5 Policy Dev & Implementation

4.6 Policy Dev & Implementation

Locally
determined

4.7 Policy Dev & Implementation

4.8 Policy Dev & Implementation

4.9 Policy Dev & Implementation

4.10 Policy Dev & Implementation

4.11 Policy Dev & Implementation

5.1 Software Vendor Monitoring

5.2 Software Vendor Monitoring

5.3 Software Vendor Monitoring

6.1 Training, Customer Service, and End User Support Services

6.2 Training, Customer Service, and End User Support Services

6.3 Training, Customer Service, and End User Support Services

6.4 Training, Customer Service, and End User Support Services

6.5 Training, Customer Service, and End User Support Services

6.6 Training, Customer Service, and End User Support Services

7.1 Data Analysis and Reporting

7.2 Data Analysis and Reporting

7.3 Data Analysis and Reporting

7.4 Data Analysis and Reporting

7.5 Data Analysis and Reporting

8.1 Staff Management and Capacity

8.2 Staff Management and Capacity

8.3 Staff Management and Capacity

9.1 Strategic Planning and HMIS Growth

9.2 Strategic Planning and HMIS Growth

9.3 Strategic Planning and HMIS Growth

9.4 Strategic Planning and HMIS Growth

9.5 Strategic Planning and HMIS Growth

Assessment Question

Response

Responsible Party

Can the HMIS Lead document that it has been formally designated by each CoC to manage the Continuum's HMIS for its geographic area?

Can the HMIS Lead document that it is a nonprofit organization, state or local government, or instrumentality of State or local governments, and is otherwise eligible to apply for HMIS project grants?

Does the HMIS Lead consult with the HMIS@NCCEH Advisory Board to update annually, and develop and follow, a governance charter/ByLaws and all policies and procedures needed to comply with HMIS requirements prescribed by HUD?

Does the HMIS Lead provide performance and outcomes data from the HMIS to support the establishment of performance targets appropriate for population and program type and support the HMIS@NCCEH Advisory Board's evaluation of performance outcomes?

Does the HMIS Lead provide HMIS data as needed by the HMIS@NCCEH Advisory Board to evaluate project-level performance outcomes for CoC and ESG program funded projects?

Does the HMIS Lead implement the HMIS privacy plan, security plan, and data quality plan that has been approved by the HMIS@NCCEH Advisory Board, to the extent the HMIS Lead is responsible for doing so, in accordance with the HMIS governance charter/ByLaws and applicable agreements?

Does the HMIS Lead provide information regarding HMIS participation to the HMIS@NCCEH Advisory Board to ensure consistent participation of recipients and subrecipients in the HMIS?

Does the HMIS Lead provide information to the HMIS@NCCEH Advisory Board regarding HMIS administration in relation to HUD's requirements to ensure compliance?

Is the HMIS Lead the only entity that incurs costs for the activities listed in the CoC Program interim rule at 578.57(a)(2)?

Can the HMIS Lead document that it draws down funds from eLOCCS at least once per quarter of the program year, in accordance with 578.85(c)(3) of the CoC Program interim rule?

Does the HMIS Lead maintain the necessary records and documentation that may be needed to complete a HUD performance review, in accordance with (578.107(a)(1) of the CoC Program interim rule?

Does the HMIS Lead maintain documented procurement procedures and maintain oversight of all contractors or vendors in accordance with 2 CFR § 200?

Does the HMIS Lead keep records to show compliance where applicable with its organizational conflict-of-interest requirements, the CoC Board conflict-of-interest requirements, a copy of the personal conflict-of-interest policy developed and implemented to address personal gain or benefit, and records supporting exceptions to the personal conflict of interest prohibitions?

Does the HMIS Lead have oversight and data entry/editing ability for Project Descriptor Data Elements (PDDE)?

Does the HMIS Lead regularly review duplicate client records, and work to deduplicate multiple records with distinct Personal Identifier metadata elements that represent the same individual based on identifying information (such as name, date of birth, or Social Security Number)?

Is there a written agreement (such as an MOU or governance charter/ByLaws) that clearly defines the roles and responsibilities of the HMIS Lead, HMIS@NCCEH Advisory Board, and all other HMIS stakeholders across the HMIS implementation?

Is there a written agreement between the HMIS Lead, the HMIS@NCCEH Advisory Board, and HMIS participating agencies that defines the specific roles and responsibilities of HMIS participating agencies?

Is there a written agreement between the HMIS Lead, HMIS@NCCEH Advisory Board, and HMIS end users that defines the specific roles and responsibilities of HMIS end users, and that is clearly linked to the HMIS policies and procedures and plans related to privacy, security, and data quality?

Does the HMIS Lead actively participate in and contribute to HMIS@NCCEH Advisory Board policy and planning decisions, including providing reports on data quality and performance at the levels of system, agency, and project?

Does the HMIS Lead perform all system administration, management, and operational tasks in accordance with applicable MOUs, contracts, or statements of work?

Has the HMIS Lead implemented project set up and data collection guidance per HUD and Federal Partner program HMIS Manuals?

Does the HMIS Lead maintain documentation on and demonstrate sufficient understanding of the HMIS Software Vendor's table structure, data model, and naming conventions to ensure accuracy and reliability of HUD required and CoC custom reports?

Does the HMIS Lead monitor and test HMIS Software Vendor updates, upgrades, patches, and fixes to ensure seamless HMIS access and use by HMIS participating agencies?

Does the HMIS Lead monitor license allocations across the CoC and license utilization at the agency and enduser 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?

Does the HMIS Lead actively collaborate with the HMIS@NCCEH Advisory Board to review, revise, and approve a privacy plan, security plan, and data quality for the HMIS?

Does the HMIS Lead actively support the HMIS@NCCEH Advisory Board in the development and implementation of a data-sharing and consent framework that facilitates the sharing of client records based on applicable federal, state, and local statutes and the business needs (such as coordinated entry) of the HMIS@NCCEH Advisory Board?

Does the HMIS Lead actively manage data sharing settings by end users, programs, projects, and agencies to appropriately support data sharing in the HMIS implementation in accordance with the HMIS@NCCEH Advisory Board HMIS Privacy Plan?

Does the HMIS Lead work collaboratively with the HMIS@NCCEH Advisory Board to define data ownership policies both at the individual and household level as well as at the HMIS implementation level, to account for scenarios related to client revocation of consent or for HMIS Software Vendor change?

Does the HMIS Lead monitor HMIS-participating agencies and HMIS end users for electronic compliance with the HMIS@NCCEH Advisory Board's HMIS security plan, such as user account management and password resets, system inactivity, internet browser security, firewall protections, and antivirus programs?

Does the HMIS Lead monitor HMIS participating agencies and HMIS end users for physical compliance with the HMIS@NCCEH Advisory Board's HMIS security plan, and is the monitoring process effective at decreasing security issues related to physical compliance?

Does the HMIS Lead provide quality improvement strategies, training and capacity building opportunities, and corrective action planning to agencies and end users based on the findings of the HMIS end user monitoring process regarding privacy, security, and data quality?

Does the HMIS Lead work collaboratively with the HMIS@NCCEH Advisory Board to establish standards for each component of data quality and monitoring to these standards: completeness, accuracy, timeliness, and consistency?

Does the HMIS Lead's data quality monitoring process lead to improvements in data quality performance related to completeness, accuracy, timeliness, and consistency?

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?

Does the HMIS Lead have escalation protocols in place to inform leadership from HMIS participating agencies and the HMIS@NCCEH Advisory Board when noncompliance with any HMIS privacy, security, or data quality plans is identified through the monitoring process?

Does the HMIS Lead monitor the HMIS software to ensure that the HMIS meets all data and functionality requirements as prescribed by HUD, including: 1) The HMIS collects all current HMIS data elements and response categories; 2) The HMIS has the ability to unduplicate client records; 3) The HMIS is compliant with HUD HMIS programming specifications and HMIS CSV Format Specifications; and 4) The HMIS produces all reports required by HUD and federal partners who require HMIS participation for programs?

Does the HMIS Lead regularly monitor the HMIS Software Vendor and utilize incentives or penalties—as permitted by the HMIS@NCCEH Advisory Board and defined in the contract—to ensure compliance with all contractual terms and conditions between the community and vendor?

Does the HMIS Lead work collaboratively with HMIS@NCCEH Advisory Board leadership and HMIS stakeholders to review vendor monitoring findings and performance measures?

Does the HMIS Lead require new end users to complete HMIS training prior to allocating HMIS end user licenses or granting system access, and provide appropriate training on a frequent basis?

Does the HMIS Lead incorporate pre-test and posttest assessments to measure knowledge retention and the efficacy of training sessions?

Does the HMIS Lead offer regularly occurring training sessions as well as on-demand trainings, technical assistance, and/or individualized or group learning opportunities based on identified training needs or at the request of HMIS end users, including remedial trainings for new end users and advanced trainings for experienced end users?

Does the HMIS Lead solicit feedback from HMIS stakeholders on the administration, management, and operation of the HMIS implementation to identify areas for improvement, and incorporate feedback into training or capacity building opportunities?

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?

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?

Does the HMIS Lead work collaboratively with the HMIS@NCCEH Advisory Board to review HUD and federal partner reports, and address any data quality or report validation concerns, prior to report submission?

Does the HMIS Lead work collaboratively with the HMIS@NCCEH Advisory Board to ensure that HMIS bed and unit inventories correspond with the Housing Inventory Count (HIC) and that all projects are accurately typed?

Does the HMIS Lead provide timely and accurate performance data to the HMIS@NCCEH Advisory Board to support agency and project evaluation and the annual project ranking and selection process?

Does the HMIS Lead provide timely and accurate reports to the HMIS@NCCEH Advisory Board and other HMIS stakeholders as required or requested, in accordance with any reporting or evaluation protocols, policies, and procedures?

Does the HMIS Lead appropriately support data literacy efforts with HMIS@NCCEH Advisory Board stakeholders, including data documentation, data interpretation, and report management for both Point-in-Time Counts and longitudinal analyses?

Does the HMIS Lead maintain a staffing structure that meets the needs of the HMIS@NCCEH Advisory Board, based on the size of the HMIS implementation and the roles and responsibilities that have been assigned to the HMIS Lead?

Does the HMIS Lead provide capacity building opportunities to staff members as appropriate, such as training opportunities, conference attendance, and professional development courses?

Does the HMIS Lead appropriately prioritize HMIS Lead roles and responsibilities? If the HMIS Lead also provides other services or business functions, do they demonstrate adequate funding and resource capacity to recruit and retain staff that meet the HMIS management and data reporting needs of the HMIS@NCCEH Advisory Board?

Does the HMIS Lead work collaboratively with the HMIS@NCCEH Advisory Board to develop a strategic plan that sets goals for increases in HMIS participation, funding, and the capacity of HMIS stakeholders?

Does the HMIS Lead work collaboratively with the HMIS@NCCEH Advisory Board to provide incentives to increase HMIS participation for agencies that are not required to participate in HMIS as a condition of their grant, and do these incentives lead to increased HMIS participation?

Does the HMIS Lead work collaboratively with the HMIS@NCCEH Advisory Board to diversify funding sources for HMIS across federal, state, local, and private or philanthropic organizations?

If HMIS participation fees or service charges are collected by the HMIS Lead from HMIS Participating Agencies, are the fee structures, collection mechanisms, and use of fees clearly documented and used to support costs and expenses of the HMIS, or otherwise reinvested to enhance the HMIS?

Does the HMIS Lead work collaboratively with the HMIS@NCCEH Advisory Board to enhance the HMIS@NCCEH Advisory Board's use of HMIS to support coordinated entry and by-name list functionalities?

Additional Comments (inc Documentation Prov Outcome

Recommended Improvement



