



Monterey and San Benito Counties'  
Homeless Management Information System (HMIS)  
**Governance Policies & Procedures**

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# Monterey and San Benito Counties' Homeless Management Information System (HMIS) Governance Policies & Procedures

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## 1. Introduction

This document provides the framework for the ongoing operations of the *Monterey and San Benito Counties' Homeless Management Information System* (Monterey/San Benito Counties' HMIS) *Project*. The Project Overview provides the main objectives, direction and benefits of the Monterey/San Benito Counties' HMIS Project. Governing principles establish the values that are the basis for all policy statements and subsequent decisions.

Operating procedures will provide specific policies and steps necessary to control the operational environment and enforce compliance in the areas of:

- Project Participation
- User Authorization
- Collection of Client Data
- Release of Client Data
- Server Security and Availability
- Workstation Security
- Training
- Technical Support

Other obligations and agreements will discuss external relationships required for the continuation of this project. Forms control provides information on obtaining forms, filing and record keeping.

## 2. Project Overview

The long-term vision of HMIS is to enhance Partner Agencies' collaboration, service delivery and data collection capabilities. Accurate information will put the collaborative in a better position to request funding from various sources and help better plan for future needs. The purpose of the Monterey and San Benito Counties' HMIS is to be an integrated network of homeless and other services providers that use a central database to collect, track and report uniform information on client needs and services. This system will not only meet federal requirements, but also enhance service planning and delivery. The fundamental goal of the *Monterey/San Benito Counties' HMIS Project* is to document the demographics of homelessness in Monterey and San Benito Counties according to the HUD HMIS standards. It is then the goal of the project to identify patterns in the utilization of assistance, and document the effectiveness of the services for the client. This will be accomplished through analysis of data that is gathered from actual experiences of homeless persons, the service providers who assist them in shelters, and other homeless assistance programs throughout the counties. Data that is gathered via intake interviews and program participation will be used to complete HUD annual progress reports. This data may also be analyzed to provide unduplicated counts and anonymous data to policy makers, service providers, advocates, and consumer representatives.

The project utilizes a web-enabled application residing on a central server to facilitate data collection by homeless service organizations across the county. Access to the central server is limited to agencies formally participating in the project including only authorized staff members that have meet the necessary training and security requirements.

The *Monterey/San Benito Counties' HMIS Project* is staffed and advised by the Coalition of Homeless Services Providers (CHSP). CHSP's Executive Officer is the authorizing agent for all agreements made between Partner Agencies and CHSP. CHSP staff is responsible for coordination, training and user access. CHSP staff will also provide for technical assistance to users of the system throughout the county.

The Monterey/San Benito Counties' HMIS Planning and Oversight Committee, comprised of representatives from Partner Agencies, CTA and HomeBase, is responsible for oversight and guidance of the *Monterey/San Benito Counties' HMIS Project*. This group is committed to balancing the interests and needs of all stakeholders involved: homeless men, women, and children; service providers; and policy makers.

**Potential benefits for homeless men, women, children and case managers:**

Service coordination can be improved when information is shared, with written client consent, among case management staff within one agency or with staff in other agencies who are serving the same clients.

**Potential benefits for agencies and program managers:**

Aggregated information can be used to develop a more complete understanding of clients' needs and outcomes, and then used to advocate for additional resources, complete grant applications, conduct evaluations of program services, and report to funding agencies such as HUD. Aggregated information can be used to develop a more complete understanding of clients' needs and outcomes, and then used to advocate for additional resources, complete grant applications, conduct evaluations of program services, and report to funding agencies such as HUD.

**Potential benefits for the community-wide Continuum of Care (CoC) and policy makers:**

County-wide involvement in the project provides the capacity to generate HUD annual progress reports for the (Continuum of Care) CoC and allows access to aggregate information both at the local and regional level that will assist in identification of gaps in services. In addition, it will assist the completion of other service reports used to inform policy decisions aimed at addressing and ending homelessness at local, state and federal levels.

### **3. Governing Principles**

Described below are the overall governing principles upon which all decisions pertaining to the *Monterey/San Benito Counties' HMIS Project* are based:

Participants are expected to read, understand, and adhere to the spirit of these governing principles, even when the *Governance Policies and Procedures* do not provide specific direction.

**Confidentiality**

The rights and privileges of clients are crucial to the success of HMIS. These policies will ensure clients' privacy without impacting the delivery of services. This is the primary focus of agency programs participating in this project. Policies regarding client data will be founded on the premise that a client owns his/her own personal information and will provide the necessary safeguards to protect client, agency, and policy level interests. Collection, access and disclosure of client data through HMIS will only be permitted by the procedures set forth in this document.

**Data Integrity**

Client data is the most valuable and sensitive asset of the *Monterey/San Benito Counties' HMIS Project*. These policies will ensure integrity and protect this asset from accidental or intentional unauthorized modification, destruction or disclosure.

## **System Availability**

The availability of a centralized data repository is necessary to achieve the ultimate countywide aggregation of unduplicated homeless statistics. CHSP staff is responsible for ensuring the broadest deployment and availability for homeless service agencies in Monterey and San Benito Counties.

## **Compliance**

Violation of the *Governance Policies and Procedures* set forth in this document will have serious consequences. Any deliberate or unintentional action resulting in a breach of confidentiality or loss of data integrity may result in the withdrawal of system access for the offending entity.

## **4. Roles and Responsibilities**

### ***Monterey and San Benito Counties' HMIS Planning and Oversight Committee***

- Project direction and guidance
- Technology plan
- Selection of system software
- Approval of project forms and documentation
- Project participation and feedback
- Project Funding

### ***Coalition of Homeless Services Providers (CHSP)***

#### **CHSP Executive Officer**

- Liaison with Department of Housing and Urban Development (HUD)
- Project staffing
- CHSP signatory for Memoranda of Understandings
- Overall responsibility for success of the *Monterey/San Benito Counties' HMIS Project*
- Policies & Procedures compliance
- General responsibility for project rollout

#### **CHSP Staff – assigned HMIS duties (as applicable)**

- End user licenses
- Creation of project forms and documentation
- Keeper of signed Memorandums of Understanding
- User administration
  - o Add and remove Partner Agency HMIS Administrators
  - o Manage user licenses
- Training Coordination for:
  - o Curriculum development
  - o Training documentation
  - o Confidentiality training
  - o Application training for HMIS Administrators and end users
  - o Outreach/End user support
  - o Training timetable
  - o Helpdesk

## **Data Analyst Function**

Data analyst functions will be performed by designated CHSP staff/contractor/third party, etc. in consultation with the Monterey and San Benito Counties' HMIS Planning and Oversight Committee. Functions include, but are not limited to:

- Adherence to HUD data standards
- Application customization
- Data monitoring
- Data validity
- Aggregate data reporting and extraction
- Assist Partner Agencies with agency-specific data collection and reporting needs (within reason and within constraints of other duties).
- Data for annual US Dept. of HUD Continuum of Care Application Narrative
- Liaison with Community Technology Alliance (CTA) as needed

## ***Community Technology Alliance (CTA)***

- Manage the implementation and on-going usage of the HMIS system on behalf of the entire region. Act as a single point of contact between Monterey and San Benito Counties, and the software vendor and hosting service provider, Bowman Internet Systems.
- Sign and manage the contractual agreement with the vendor, Bowman Internet Systems, on behalf of the multiple Continuums of Care within the region, procuring the ServicePoint application software and ensuring the provision of appropriate hosting and IT Management services for a single, shared, regional HMIS system.
- Oversee, on behalf of the region, the delivery of IT and application support services by Bowman Internet Systems, who are responsible for the setup, operations, and on-going maintenance of the HMIS system.
- Work with Continuum of Care HMIS Administration teams to plan and implement the system within their continuums. Ensure Continuum of Care HMIS Administration teams receive appropriate training as required for implementation and ongoing outreach and support.
- Provide technical assistance to the Continuum of Care HMIS Administration teams. Facilitate problem resolution in the event continuums are experiencing difficulties with the software and/or system. Whenever possible, resolve issues which local Continuum of Care HMIS Administration could not adequately resolve. Escalate problems to the application software vendor and hosting service provider, Bowman Internet Systems, when necessary.
- Perform application administration tasks as necessary for the setup and ongoing operations of the system
- Centrally manage the system-wide configuration on behalf of the multiple Continuums of Care, including:
  - Initial application setup and the first level, cross continuum structure within the system.
  - Configuration of standard pick lists provided with the product.
  - Configuration of standard client assessments provided with the product.

- Procure, allocate and administer user license allocation across the various continuums within the system.
- Manage user accounts, logins, and passwords for Continuum of Care Administration teams.
- In coordination with local Continuum of Care HMIS Administration, create and manage agency-specific application configurations, on behalf of individual agencies within the system and including client assessment forms, data fields and/or pick lists.
- In coordination with local Continuum of Care HMIS Administration, advise on the creation and management of all custom data importation and exportation routines necessary to integrate external data into the HMIS system, and export internal data from within the HMIS system, as required on behalf of individual agencies, Continuums of Care, or other outside policy makers and funders; such as the potential inclusion of HMIS data in a broader regional data warehouse. Audit usage of the application in order to ensure that appropriate standard *Governance Policies and Procedures* are agreed upon, in place and followed.
- Monitor system usage over time in order to ensure that appropriate capacity planning is in place to proactively plan for future system growth and expansion.
- Follow all established *Monterey and San Benito Counties' HMIS Project* procedures especially, procedures related to the maintenance of confidentiality.

## ***Partner Agency***

### **Partner Agency Executive Director**

- Authorizing agent for partner agreement (MOU)
- Designation of HMIS Administrator
- Agency compliance with *Governance Policies & Procedures*
- End user licenses
- Agency level HUD reporting
- Authorizing agent for Partner Agency User Agreements
- Keeper of Partner Agency User Agreements
- Agency *Client Grievance Policy/Procedure* as it relates to HMIS

### **Partner Agency HMIS Administrator**

- Coordinate confidentiality training
- Maintain executed client informed consent forms in a secure location for seven years
- Authorizing agent for agency end user ID requests
- Staff workstations
- Internet connectivity
- End user adherence to workstation security policies
- Responsible for adherence to the *Governance Policies and Procedures*
- First level end user support
- Ensure agency level data integrity
- Authorized imports of client data from existing databases

### **Partner Agency Staff**

- Safeguard client privacy through compliance with confidentiality policies
- Data collection as specified by training and other documentation

## Conflict Resolution Process for HMIS

Conflicts, grievances, etc. should be handled at the lowest level possible at every level of the Monterey/San Benito Counties' HMIS. Reasonable efforts should be made and documented if possible and appropriate, to obtain satisfaction by other means, including escalation within an agency and through CHSP.

Client level conflicts will be handled within the Partner Agency using its agency *Client Grievance Policy/Procedure*.

- All Partner Agencies will have a *Client Grievance Policy/Procedure*.
- Partner Agency *Client Grievance Policy/Procedures* are reviewed as they relate to the Monterey/San Benito Counties' HMIS by the HMIS Planning and Oversight Committee and CHSP Executive Officer, for feedback and comments.
- Changes to a Partner Agency *Client Grievance Policy/Procedure* will be submitted to the CHSP Executive Officer and HMIS Planning and Oversight Committee in writing within 30 days of the changes for feedback and comments.

Agency level conflicts will be handled through an escalating peer review process:

- The CHSP Executive Officer, and/or HMIS Coordinator, and Partner Agency Executive Director, and/or HMIS Administrator will make every attempt to resolve conflicts as they occur. CHSP and/or the Partner Agency may annotate their concerns in writing as appropriate.
- Unresolved conflicts between the CHSP and a Partner Agency will be noted in writing and forwarded to the CHSP Executive Committee. In the event of an impasse, other members of the board will be notified within 10 working days of the impasse declaration. Either party may declare an impasse.
- The CHSP Executive Committee will review the written grievance at the next scheduled Executive Committee meeting. The Executive Committee will make every attempt to resolve the matter within 30 days of reviewing the grievance. Resolution of the conflict will be in writing and signed by all relevant parties.
- Unresolved conflicts will be forwarded to the full CHSP Board of Directors for further guidance and action.
- Any recommendation regarding termination of a Partner Agency from the Monterey/San Benito Counties' HMIS will be forwarded to the full CHSP Board of Directors for consideration and possible action.
- All decisions of the CHSP Board of Directors are final.
- Conflicts between or among Partner Agencies may require mediation by the CHSP Executive Officer and/or HMIS Coordinator. Resolution of the conflict may be annotated in writing and signed by all relevant parties as appropriate.
- Unresolved conflicts between or among Partner Agencies will be noted in writing and forwarded to the CHSP Executive Committee within 10 working days of the date of an impasse. Any party may declare an impasse. The Executive Committee will then follow the same process noted above.

## 5. Operating Procedures

### 5.1 Project Participation

#### Policies

- Agencies participating in the *Monterey/San Benito Counties' HMIS Project* shall commit to abide by the governing principles of the *Monterey/San Benito Counties' HMIS Project* and adhere to the terms and conditions of this partnership as detailed in the memorandum of understanding.

#### Procedures

##### Confirm Participation

1. The Partner Agency shall confirm their participation in the *Monterey/San Benito Counties' HMIS Project* by submitting a Memorandum of Understanding (MOU) to the CHSP Executive Officer.
2. The CHSP Executive Officer will co-sign the MOU.
3. The CHSP Executive Officer will maintain a file of all signed Memorandums of Understanding.
4. The CHSP Program Coordinator will update the list of all Partner Agencies and make it available to the project community.

##### Terminate Participation

###### Voluntary

1. The Partner Agency shall inform the CHSP Executive Officer in writing of their intention to terminate their agreement to participate in *Monterey/San Benito Counties' HMIS Project*.
2. The CHSP Executive Officer will inform relevant CHSP staff and update the Participating Agency List.
3. The CHSP Executive Officer will revoke access of the Partner Agency staff to the Monterey/San Benito Counties' HMIS. **Note:** All Partner Agency-specific information contained in the HMIS system will remain in the HMIS system.
4. The CHSP Executive Officer will keep all termination records on file with the associated Memorandums of Understanding.

###### Lack of Compliance

1. When the CHSP Executive Officer determines that a Partner Agency is in violation of the terms of the partnership, Executive Directors of Partner Agency and CHSP will strive to resolve the compliance issue(s) within 30 days of the conflict(s).
2. If Executive Directors are unable to resolve the compliance issue(s) within 30 days, the Peer Review Process will be employed to resolve the conflict. If that results in a ruling of termination:
  - The Partner Agency will be notified in writing of the intention to terminate their participation in the *Monterey/San Benito Counties' HMIS Project*
  - The CHSP Executive Officer will revoke access of the Partner Agency staff to the Monterey / San Benito Counties' HMIS
  - The CHSP Executive Officer will keep all termination records on file with the associated memorandums of understanding

###### Assign Agency HMIS Administrator

1. The Partner Agency shall designate, in writing, an Agency HMIS Administrator for communications regarding Monterey/San Benito Counties' HMIS and submit this documentation to the CHSP Executive Officer.
2. The CHSP System Administrator will obtain all signatures necessary to execute the *Partner Agency HMIS Administrator Agreement*.

3. The CHSP Executive Officer will maintain a file of all submitted documentation.
4. The CHSP Executive Officer will maintain a list of all assigned Agency HMIS Administrators and make it available to the CHSP project staff.

### **Re-Assign Agency HMIS Administrator**

1. The Partner Agency may designate new or replacement Agency HMIS Administrators in the same manner as above.

### **Site Security Assessment**

1. Prior to allowing access to the HMIS, the Partner Agency HMIS Administrator and CHSP staff will meet to review and assess the security measures in place to protect client data. This meeting may include, but is not limited to, the Partner Agency Executive Director (or designee), Program Manager / Administrator and the Agency HMIS Administrator with CHSP staff member (or designee) to assess agency information security protocols. This review shall in no way reduce the responsibility for agency information security, which is the full and complete responsibility of the agency, its Executive Director, and the Agency HMIS Administrator.
2. Agencies shall have virus protection software on all computers that access HMIS.

## **5.2 User Authorization and Passwords**

### **Policies**

- Agency Staff participating in the *Monterey/San Benito Counties' HMIS Project* shall commit to abide by the governing principles of the Monterey/San Benito Counties' HMIS Project and adhere to the terms and conditions of the *Partner Agency User Agreement*.
- The Partner Agency HMIS Administrator must only request user access to HMIS for those staff members that require access to perform their job duties.
- All users must have their own unique user ID and should never use or allow use of a user ID that is not assigned to them. [See *Partner Agency User Agreement*]
- Temporary passwords will be communicated via email to the owner of the User ID.
- User specified passwords should never be shared and should never be communicated in any format.
- New User IDs must require password change on first use.
- Passwords must consist of 8 to 16 characters and must contain a combination of letters and numbers (no special characters, alpha and numeric only). The password must contain at least two numbers. [Required by software.] According to the HUD Data Specification Draft:

*User authentication.* HMIS workstations and server shall be secured with, at a minimum, a user authentication system consisting of a username and a password. Passwords shall be at least eight characters long and meet industry standard complexity requirements, including, but not limited to, the use of at least one of each of the following kinds of characters in the passwords: Upper and lower-case letters, and numbers and symbols. Passwords shall not be, or include, the username, the HMIS name, or the HMIS vendor's name. In addition, passwords should not consist entirely of any word found in the common dictionary or any of the above spelled backwards. The use of default passwords on initial entry into the HMIS application is allowed so long as the application requires that the default password be changed on first use. Written information specifically pertaining to user access (e.g., username and password) shall not be stored or displayed in any publicly accessible location.

- Passwords must be changed every 45 calendar days. If they are not changed within that time period, they will expire and the user will be locked out of the system.
- For Partner Agency HMIS Administrators, passwords may only be reset by the CHSP Executive Officer or by the HMIS Coordinator at the request of the CHSP Executive Officer.
- For Agency Users (not including Partner Agency HMIS Administrator), passwords should be reset by the Partner Agency HMIS Administrator, but in some cases may be reset by the CHSP Executive Officer.
- Three consecutive unsuccessful attempts to login will disable the User ID until the account is reactivated by an administrator.

## **Procedures**

### **Workstation Security Assessment**

1. Prior to requesting user access for any staff member, the Partner Agency HMIS Administrator will assess the operational security of the user's workspace.
2. Partner Agency HMIS Administrator will ensure that all agency users realize they can access HMIS only through secure workstations and are prohibited from using public workstations (libraries, cafes, etc)
3. Partner Agency HMIS Administrator will confirm that workstation has virus protection software installed and that a full-system scan has been performed on a weekly basis.

### **Request New User ID**

1. When the Partner Agency HMIS Administrator identifies a staff member that requires access to *Monterey/San Benito Counties' HMIS Project*, a *Partner Agency User Agreement (PAUA)* will be provided to the prospective User.
2. The Prospective User must read, understand and sign the *PAUA* and return it to the Partner Agency HMIS Administrator.
3. The Partner Agency HMIS Administrator will co-sign the *PAUA* and keep it on file.
4. The Partner Agency HMIS Administrator will create the new user ID as specified and notify the user ID owner of the temporary password via email.

### **Change User Access**

1. When the Partner Agency HMIS Administrator determines that it is necessary to change a user's access level they will update the user ID as needed.

### **Rescind User Access**

#### **Compliance Failure**

*Use this procedure when any HMIS user: breaches the User Agreement; violates the Governance Policies & Procedures; breaches confidentiality or security; or leaves the agency or otherwise becomes inactive.*

1. The Partner Agency HMIS Administrator will deactivate staff User Ids.
2. The CHSP Executive Officer will deactivate all other User IDs.

### **Reset Password**

1. When a User forgets their password or has reason to believe that someone else has gained access to their password, they must immediately notify their Partner Agency HMIS Administrator.
2. The Partner Agency HMIS Administrator will reset the User's password and notify the User of their new temporary password.

## **5.3. Collection and Entry of Client Data**

### **Policies**

- Client data will be gathered according to the policies, procedures and confidentiality rules of each individual program.
- Client data may only be entered into the HMIS with client's authorization to do so.
- Client data will only be shared with Partner Agencies if the client consents by signing the client consent form, and that form is filed on record.

- Client data will be entered into the HMIS in a timely manner.
  - o Client identification should be completed during the intake process or as soon as possible following intake and within 48 hours or two business days.
  - o Service records should be entered on the day services began or as soon as possible within the next 48 hours or two business days.
  - o Required assessments should be entered as soon as possible following the intake process and within 48 hours or two business days.
- All client data entered into the HMIS will be kept as accurate and as current as possible.
- Hardcopy and electronic files will continue to be maintained according to individual program requirements in accordance with the HUD Data Standards.
- No data may be imported without the client's authorization.
- Any authorized data imports will be the responsibility of the participating agency.
- Partner Agencies are responsible for the accuracy, integrity, and security of all data input by said Agency.

### Procedures

- Refer to User Manual and/or Training Materials for specific data entry guidelines.

### **5.4. Release and Disclosure of Client Data Policies**

- Client-specific data from the HMIS system may be shared with partner agencies only when the sharing agency has secured a valid release of information from that client authorizing such sharing, and only during such time that release of information is valid (before its expiration). Other non- HMIS inter-agency agreements do not cover the sharing of HMIS data.
- Sharing of client data may be limited by program specific confidentiality rules.
- No client-specific data will be released or shared outside of the partner agencies unless the client gives specific written permission or unless withholding that information would be illegal. Please see release of information. Note that services may **NOT** be denied based on the client's refusal to sign the form or declines to state any information.
- Release of information must constitute **INFORMED** consent. The burden rests with the intake counselor to inform the client before asking for consent. As part of informed consent, the relevant portions of these *Governance Policies and Procedures* as well as privacy language found in the final HUD Data Standards, should be posted near the intake location and/or be available at the intake location, along with Agency's relevant *Governance Policies & Procedures* and a list of agencies participating in *Monterey/San Benito Counties' HMIS Project*.
- Client shall be given print out of all HMIS data relating to them upon written request and within 10 working days from the time the written request is received. Written requests will be date/time stamped immediately upon receipt.
- A report of data sharing events, including dates, agencies, persons, and other details, must be made available to the client upon request within 10 working days from the time the written request is received. Written requests will be date/time stamped immediately upon receipt.
- A log of all external releases or disclosures must be maintained for seven years and made available to the client upon written request within 10 working days from the time the written request is received. Written requests will be date/time stamped immediately upon receipt.
- Aggregate data that does not contain any client specific identifying data may be shared with internal and external agents without specific permission. This policy should be made clear to clients as part of the informed consent procedure.
- Each Agency Executive Director is responsible for their agency's internal compliance with the HUD Data Standards.

## **Procedures**

- Procedures for disclosure of client-specific data are readily obtained from the above policies, combined with the configuration of the Monterey/San Benito Counties' HMIS system, which facilitates appropriate data sharing.

### **5.5. Workstation Security**

#### **Policies**

- Partner Agency HMIS Administrator is responsible for taking the necessary actions for preventing the degradation of the whole system resulting from viruses, intrusion, or other factors under the agency's control.
- Partner Agency HMIS Administrator is responsible for preventing inadvertent release of confidential client-specific information. Such release may come from physical, electronic or even visual access to the workstation, thus steps should be taken to prevent these modes of inappropriate access (i.e. don't let someone read over your shoulder; lock your screen).
- Recommended Internet Connection: DSL
- Recommended Browser: Latest release of Internet Explorer.
- Definition and communication of all procedures to all agency users for achieving proper agency workstation configuration and for protecting their access by all agency users to the wider system are the responsibility of the Partner Agency HMIS Administrator.

#### **Procedures**

- At a minimum, any workstation accessing the HMIS shall have anti-virus software with current virus definitions (24 hours) and frequent full-system scans (weekly).

### **5.6. Training**

#### **Policies**

- Agency Executive Director shall obtain the commitment of Agency HMIS Administrator and designated staff persons to attend training(s) as specified in the *Memorandum of Understanding* (MOU) between Partner Agency and CHSP.

#### **Procedures**

##### **Start-up Training**

CHSP will provide or coordinate training in the following areas prior to Partner Agency using the Monterey/San Benito Counties' HMIS:

- o Partner Agency HMIS Administrator Training
- o End User Training
- o Confidentiality Training

##### **Agency HMIS Administrator Training**

Training will be done in a group setting, where possible, to achieve the most efficient use of time and sharing of information between agencies. Training will include:

- o New user set-up
- o Assigning Agency within the Monterey/San Benito Counties' HMIS hierarchy.
- o End user training

- o Running package reports
- o Creating customized reports

### **Follow-up Training**

CHSP will provide or coordinate on-site follow-up training at each participating Partner Agency. Once the Partner Agency has “gone live,” HMIS staff will make on-site visits as needed to ensure that the Partner Agency becomes proficient in the use of the *Monterey/San Benito Counties’ HMIS Project*.

### **On-going Training**

CHSP will provide regular training for the HMIS Planning and Oversight Committee/Partner Agencies, as needed. The areas covered will be:

- o Confidentiality Training
- o Agency HMIS Administrator Training
- o End User Training

Additional training classes will be scheduled as needed under the guidance of the CHSP and HMIS Planning and Oversight Committee.

## **5.7. Compliance**

### **Policies**

- Compliance with these *Governance Policies and Procedures* is mandatory for participation in the Monterey/San Benito Counties’ HMIS system.
- Using the ServicePoint software, all changes to client data are recorded and will be periodically and randomly audited for compliance by CHSP staff and CTA.

### **Procedures**

- See Project Participation and User Authorization sections for procedures to be taken for lack of compliance.

## **5.8. Technical Support**

- Support requests include problem reporting, requests for enhancements (features), or other general technical support.
- Users shall submit support requests to their Partner Agency HMIS Administrator (email is suggested).
- Users shall not, under any circumstances, submit requests to software vendor or Community Technology Alliance (CTA).
- Users shall not submit requests directly to CHSP without specific invitation. All requests to CHSP shall be submitted to Partner Agency HMIS Administrator, who may then escalate to CHSP, who may then escalate to vendors or CTA as appropriate.
- CHSP will only provide support for issues specific to the *Monterey/San Benito Counties’ HMIS Project* software and systems.

### **Procedures**

#### **Submission of Support Request**

1. User encounters problem or originates idea for improvement to system or software.
2. User creates Support Request via email sent to Partner Agency HMIS Administrator specifying the severity of the problem and its impact on their work, specific steps to reproduce the problem,

and any other documentation that might facilitate the resolution of the problem. User shall also provide contact information and best times to be reached.

3. Partner Agency HMIS Administrator, upon receipt of a Support Request, shall make reasonable attempts to resolve the issue.

4. If the Partner Agency HMIS Administrator is unable to resolve the issue and determines that the problem is specific to HMIS Monterey/San Benito Counties' software and systems, the Partner Agency HMIS Administrator shall consolidate multiple similar requests and submit a Partner Agency Support Request by following the instructions in the appendix (to be determined).

**Note:** If the Support Request is deemed by the CHSP Executive Officer to be an agency-specific customization, (Agency-specific customizations include but are not limited to new assessments, new data fields, and new picklists), resolution of the request may be prioritized accordingly. CHSP reserves the right to charge on an hourly basis for these changes if/when the workload for such agency-specific customizations becomes burdensome.

5. CHSP staff may at this point determine that the cause of reported issue is outside the scope of control of the Monterey/San Benito Counties' HMIS software and systems.

6. CHSP staff will consolidate such requests from multiple Partner Agencies, if appropriate, and strive to resolve issues in priority order according to their severity and impact.

7. If the CHSP staff is unable to resolve the issue, other software or system vendor(s) may be included in order to resolve the issue(s).

8. In cases where issue resolution may be achieved by the end user or other Partner Agency personnel, CHSP staff will provide instructions via email to Partner Agency HMIS Administrator.

## **5.9.Changes to this and other Documents**

### **Policies**

- The Monterey and San Benito Counties' HMIS Planning and Oversight Committee will guide the recommendations regarding compilation and amendment of these *Governance Policies and Procedures*.

### **Procedures**

#### **Changes to Governance Policies & Procedures**

1. Proposed changes may originate from any participant in the *Monterey/San Benito Counties' HMIS Project*.
2. When proposed changes originate within a Partner Agency, they must be reviewed by the Partner Agency Executive Director, and then submitted by the Partner Agency Executive Director to the CHSP Executive Director for review and discussion.
3. CHSP staff will maintain a list of proposed changes.
4. The list of proposed changes will be discussed by the HMIS Planning and Oversight Committee, subject to line item excision and modification. This discussion may occur either at a meeting of the group, or via email or conference call, according to the discretion and direction of the group.
5. Results of said discussion will be communicated, along with the recommended amendment to the *Governance Policies and Procedures*. The revised *Governance Policies and Procedures* will be identified within the document by the date of the HMIS Planning and Oversight Committee discussion.
6. Partner Agencies Executive Directors shall acknowledge receipt and acceptance of the revised *Governance Policies and Procedures* within 10 working days of delivery of the amended *Governance Policies and Procedures* by notification in writing or email to CHSP Executive Officer. Partner Agency Executive Director shall also ensure circulation of the revised document within their agency and compliance with the revised *Governance Policies and Procedures*.

## 6. Other Obligations and Agreements

The current U.S. Department of HUD grant for the *Monterey/San Benito Counties' HMIS Project* has provided SHP funding since summer, 2004. Therefore, CHSP is committed to provide services to HUD funded programs in Monterey and San Benito Counties' contingent on availability of funding.

## 7. Forms Control

All forms required by these procedures are available from the CHSP Program Coordinator.

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