

**2018 Iowa Balance of State Continuum of Care (CoC)
Renewal Project Application: Deadline: Friday, June 15, 2018, 11:59 PM
for projects providing systemic support (HMIS)**

Instructions: Answer the questions below. Include a "Self-Score" as indicated.

APPLICANT NAME AND LOCATION

Organization Name:	Institute for Community Alliances	
Project Name:	Iowa's Continuum Outcomes and Universal Needs Toolkit (IA BOS HMIS)	
Anticipated Renewal Amount:	\$346,578.00	
Address:	1111 - 9th Street, Suite 380, Des Moines, IA 50314	
Contact Person (w/Email & Phone):	Julie Eberbach, julie.eberbach@icalliances.org, 515-246-6643	
Secondary Contact (w/Email & Phone):	Gary Wickersing, gary.wickersing@icalliances.org, 515-246-6643	
Verify current registration in Federal System for Award Management:	Circle or Enter: Yes	DUNS #: 14-934-1732

CONTINUUM OF CARE PARTICIPATION (29 points, questions 1 - 7)

- 1 Local Participation:** Since January 2017, have representatives of your project attended any meetings to support the development of Coordinated Services Regions and/or implementation of Coordinated Entry within the BoS? List meetings below. (1 point for each meeting attended, up to 10 points)

Representative (Name of Individual)	Region or Planning Group	Date Attended	Self-Score (up to 10)	CoC Score (up to 10)	Scoring Notes
Gary Wickersing	BOS CE Committee	2/21/2017			
Gary Wickersing	BOS CE Committee	5/16/2017			
Gary Wickersing	BOS CE Committee	6/20/2017			
Gary Wickersing	BOS CE Committee	7/11/2017			
Gary Wickersing	BOS CE Committee	9/19/2017			
Gary Wickersing	BOS CE Committee	10/17/2017			
Gary Wickersing	BOS CE Committee	11/21/2017			
Gary Wickersing	BOS CE Committee	12/19/2017			
Gary Wickersing	BOS CE Committee	2/20/2018			
Gary Wickersing	BOS CE Committee	4/17/2018			
Gary Wickersing	BOS CE Committee	5/15/2018			
Courtney Guntly	Linn/Benton/Jones	1/31/2018			
Courtney Guntly	South Central/West	2/1/2018			
Courtney Guntly	Linn/Benton/Jones	2/7/2018			
Courtney Guntly	Black Hawk/Tama	2/8/2018			
Courtney Guntly	Linn/Benton/Jones	2/14/2018			
Courtney Guntly	Southeast Iowa	2/15/2018			
Courtney Guntly	Linn/Benton/Jones	2/21/2018			
Courtney Guntly	Linn/Benton/Jones	2/28/2018			
Courtney Guntly	Two Rivers	3/1/2018			
Courtney Guntly	South Central/West	3/1/2018			
Courtney Guntly	Linn/Benton/Jones	3/7/2018			
Courtney Guntly	Linn/Benton/Jones	3/14/2018			
Courtney Guntly	Eastern Iowa	3/15/2018			
Courtney Guntly	Linn/Benton/Jones	3/21/2018			
Courtney Guntly	Linn/Benton/Jones	3/28/2018			
Courtney Guntly	Northeast Iowa	3/28/2018			
Courtney Guntly	Northeast Iowa	3/28/2018			
Courtney Guntly	Southeast Iowa	3/28/2018			
Courtney Guntly	Northeast Iowa	3/28/2018			
Courtney Guntly	Linn/Benton/Jones	4/4/2018			
Courtney Guntly	South Central/West	4/5/2018			
Courtney Guntly	North Central	4/17/2018			
Courtney Guntly	Linn/Benton/Jones	4/18/2018			
Courtney Guntly	Balance of Counties	4/18/2018			
Courtney Guntly	Eastern Iowa	4/19/2018			
Courtney Guntly	Linn/Benton/Jones	4/25/2018			
Courtney Guntly	Mid-Sioux	5/2/2018			
Courtney Guntly	South Central/West	5/3/2018			
Courtney Guntly	North Central	5/7/2018			
Courtney Guntly	Linn/Benton/Jones	5/9/2018			
Courtney Guntly	Upper Des Moines	5/10/2018			
Courtney Guntly	Linn/Benton/Jones	5/16/2018			
Courtney Guntly	Southeast Iowa	5/17/2018			
Courtney Guntly	Linn/Benton/Jones	5/23/2018			
Courtney Guntly	Eastern Iowa	5/23/2018			
Courtney Guntly	Balance of Counties	5/30/2018			
Courtney Guntly	Quad Cities/Bi-State	5/31/2018			
Courtney Guntly	Linn/Benton/Jones	6/6/2018			
Courtney Guntly	Balance of Counties	6/6/2018			
Courtney Guntly	Two Rivers	6/7/2018			
Courtney Guntly	Eastern Iowa	6/7/2018			

Please note that many regional meetings may not have readily available meeting minutes.

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2 ICH Participation: Since January 2017, have representatives of your project attended at least three bimonthly meetings of the Iowa Council on Homelessness? (1 point for each meeting attended, up to 3 points)

Representative (Name of Individual)	Date Attended	Self-Score (up to 3)	CoC Score (up to 3)	Scoring Notes
Gary Wickersing	3/15/2017	3		
Gary Wickersing	5/19/2017			
Gary Wickersing	8/4/2017			
Gary Wickersing	9/15/2017			
Gary Wickersing	1/19/2018			
Gary Wickersing	3/20/2018			

3 ICH Committee Participation: Since January 2017, have representatives of your project attended at least three meetings of one or more Iowa Council on Homelessness committees or work groups other than the Coordinated Entry Committee? (1 point for each meeting attended, up to 3 points)

Representative (Name of Individual)	Committee	Date Attended	Self-Score (up to 3)	CoC Score (up to 3)	Scoring Notes
Gary Wickersing	Executive	2/17/2017	3		
Gary Wickersing	Executive	4/21/2017			
Gary Wickersing	Executive	6/16/2017			
Gary Wickersing	Executive	7/21/2017			
Gary Wickersing	Executive	10/20/2017			
Gary Wickersing	Executive	12/15/2017			

4 Professional Development and Networking: Did any project staff attend the 2017 HUD Peer-to-Peer Symposium, September 2017 Housing Iowa Conference or similar conference? (1 point for attending either)

Symposium or conference name	Name(s)	Self-Score (0 or 1)	CoC Score (0 or 1)	Scoring Notes
2017 Housing Conference	Ehren Stover-Wright, Julie Eberbach	1		
2017 HUD Peer-to-Peer	Gary Wickersing, Ehren Stover-Wright, Julie Eberbach			

5 CoC Annual Meeting Participation: Did at least one representative of your project participate in the April 2018 Annual Meeting of Iowa Balance of State CoC Grantees? (2 points)

Representative(s)	Self-Score (0 or 2)	CoC Score (0 or 2)	Scoring Notes
Gary Wickersing, Courtney Guntly	2		

6 Supporting CoC-funded Projects: Did the HMIS Lead provide trainings for CoC-funded and other agencies on topics such as: establishing a sharing group in HMIS for coordinated entry and updates/changes in data standards? (up to 5 points; repeat of a topic acceptable)

Topic	Presenter(s)	Date	Self-Score (up to 5)	CoC Score (up to 5)	Scoring Notes
Data Standard Changes	Gary Wickersing	9/22/2017	5		
Housing Move in Date Training	Shawn McAninch	5/31/2018			
ROI & Data Sharing	Shawn McAninch	5/24/2018			
ROI & Data Sharing	Courtney Guntly	4/12/2018			
DV Database training	Gary Wickersing	1/11/2017			

7 Supporting CoC-wide Data Reporting: Did the HMIS provide trainings for BoS service providers for the January 2018 Point-in-Time Count? (2 points for any, 4 for two trainings, 5 for three or more)

Medium	Presenter(s)	Date(s)	Self-Score (Up to 5)	CoC Score (Up to 5)	Scoring Notes
PIT University 101 - Basics	Gary Wickersing	12/19/2017	5		
PIT University 201 - Unsheltered Count	Gary Wickersing	1/9/2018			
PIT University 202 - Non-HMIS	Gary Wickersing	1/10/2018			
PIT University 203 - DV Providers	Gary Wickersing	1/11/2018			
PIT University 204 - HMIS Providers	Gary Wickersing	1/12/2018			

**2018 Iowa Balance of State Continuum of Care
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PROJECT MANAGEMENT (29 points, questions 8-14)

8 Spending History: Refer to the most recently-completed operating year for which an APR has been submitted. (5 points if funds were fully expended (0% unexpended); 4 points if up to 1% of funds are unexpended; 3 points if up to 2% of funds are unexpended; 2 points if up to 3% of funds are unexpended, 1 point if 4% of funds are unexpended and no points if 5% or more of funds are unexpended)

a. Project operating year end-date:	XX/XX/XXXX	Self-Score (up to 5)	CoC Score (up to 5)	Scoring Notes
b. Grant amount:	\$ 346,578			
c. Total funds expended:	\$ 346,578			
d. Funds remaining (unexpended funds):	\$ -			
e. Unexpended funds percentage (unexpended funds/grant amount):	0%			

9 Annual Performance Report (APR): Refer to most recently-completed year for which an APR was submitted. (2 points if 90-day requirement met)

a. Project operating year end-date:	5/31/2017	Self-Score (0 or 2)	CoC Score (0 or 2)	Scoring Notes
b. Date APR submitted to HUD in SAGE:	8/7/2017			
c. Did your project meet the 90-day requirement? Circle or enter:	Yes			

10 HUD Grant Monitoring: (2 points)

a. Has HUD monitored the project within the past two years? (If no, STOP and award full 2 points.)	Circle or enter: No	Self-Score (0 or 2)	CoC Score (0 or 2)	Scoring Notes
b. Date of monitoring visit:				
c. How many findings of noncompliance were documented by HUD? (If greater than 3, stop and award NO points.)				
d. How many findings of noncompliance have NOT been resolved within the required time frame? (If greater than zero, award NO points. If 3 findings or fewer AND all were resolved within the required time frame, award full 2 points.)				

11 Administration Costs: (2 points if yes)

Will the amount requested for Administration Costs in the project application be no more than 7% or the amount listed on the GIW?	Circle or enter: Yes	Self-Score (0 or 2)	CoC Score (0 or 2)	Scoring Notes
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12 Project Staffing: (1 point if attached)

Provide an attachment with names, titles and descriptions of duties for all staff involved in this HMIS project. Include an organizational chart if helpful.	Listing of the Iowa Balance of State HMIS Team and ICA's most	Self-Score (0 or 1)	CoC Score (0 or 1)	Scoring Notes
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13 Timely Compliance: (2 points for yes; 0 points for no)

a) In the most recently completed project year, did the agency draw down funds from HUD at least quarterly?	Circle or Enter Yes	Self-Score (0 or 2)	CoC Score (0 or 2)	Scoring Notes
Indicate date on which project contract was executed:	__7__/__13__/2016__ Day Month Year			

14 Process: Refer to the HMIS Lead's policies and procedures, other relevant documents and website. (12 points; 1 point for each yes a.-g.; up to 5 points for h.)

a. Are privacy plans and protocols included?	Yes	Self-Score (up to 7)	CoC Score (up to 7)	Scoring Notes
b. Is a plan included that describes security protocols?	Yes			
c. Is a data quality plan included?	Yes			
d. Is a training schedule maintained and updated?	Yes			
e. Is a record of agency participation in trainings maintained?	Yes			
f. Are data quality protocols and processes included?	Yes			
g. Is a list of active HMIS users maintained and updated?	Yes			

Oversight: Briefly describe how the above policies and records are regularly reviewed by the HMIS Lead and CoC:

h. Attached is a current copy of the HMIS Policies and Procedures Manual to this application. The privacy, security and data quality plans are to be reviewed by the CoC annually, and are reviewed by ICA staff several times a year for regular updates. The attached manual is the most updated version by our staff. The Research and Analysis Committee of the Council does the initial review of the HMIS manual, taking their recommendation for approval to the full Council. ICA will be providing the Research and Analysis Committee the current version of the HMIS manual reflected at their next meeting (June 22, 2018) for review and recommendation to the full Council at an upcoming council meeting as determined by the Executive Committee. The list of active HMIS users is maintained within the HMIS software tool and also through ICA's HighRise customer support software. ICA's monthly training schedule is found on our web-site, as well as notification is provided through the "System News" area of ServicePoint. ICA staff actively maintain a list of all trainings offered and the number of persons and their agency attending as we must report this information through our HMIS APR at grant completion.	Self-Score (up to 5)	CoC Score (up to 5)	Scoring Notes
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**2018 Iowa Balance of State Continuum of Care
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PERFORMANCE (42 points, questions 15 - 19)


<p>15 Goals and Objectives: Refer to your last renewal application for current year. (10 points; 1 point each for up to 5 responses in a. and 5 responses in b.)</p>	<p>Self-Score (Up to 5)</p>	<p>CoC Score (Up to 5)</p>	<p>Scoring Notes</p>
<p>a. Identify five goals of your <u>current</u> project that you expect to achieve or are on pace to reach by the end of the grant year:</p> <ol style="list-style-type: none"> 1. CoC Data/System Performance On-Line interactive dashboard (https://www.icalliances.org/iowa-bos-dashboard-1) 2. Expanded and improved CoC data quality reports (see attached) 3. Expanded and improved CoC application reports (see attached) 4. Development of the Point In Time/Housing Inventory Data Portal (https://www.icalliances.org/iowa-point-in-time) 5. Provision of analysis on potential racial disparity in service provision in Iowa CoC programs. (part of CoC Dashboard and available in PIT presentation material) 6. Development and publishing of annual unduplicated service data to support the activities of the ICH "Day on the Hill". This data is provided by Senate and House District, as well as by county. (https://www.icalliances.org/iowa-data-and-reports/#day-on-the-hill) 	<p align="center">5</p>		
	<p>Self-Score (Up to 5)</p>	<p>CoC Score (Up to 5)</p>	<p>Scoring Notes</p>
<p>b. Identify five goals of your <u>proposed</u> project that you expect to achieve by the end of the grant year:</p> <ol style="list-style-type: none"> 1. Agency Level System Performance Measures Dashboard 2. Updated and expanded Point In Time/Housing Inventory Data Portal. 3. Hard to House population analysis report 4. Development of online training tools 5. Create mechanism for training and trainer feedback from users for continued improvement of ICA staff development 6. Prepare for rollout of new Longitudinal System Analysis report that will be replacing the AHAR report, preparations will include vendor testing and data quality review. 	<p align="center">5</p>		
<p>16 Responsiveness: As the HMIS Lead, how is your agency responsive and flexible, providing timely technical support to and generally accommodating of, special issues brought by participating agencies, especially those with CoC-funded projects? (10 points)</p>	<p>Self-Score (up to 10)</p>	<p>CoC Score (up to 10)</p>	<p>Scoring Notes</p>
<p>ICA has been contacted by multiple agencies for last minute funder reporting requests, both private, state, and federal grantees. We've helped agencies with United Way scorecard submissions (see attached), VAWA reporting (see attached), VA/SSVF monitoring report (see attached), SSVF surveys support, as well as HUD CoC monitoring agency specific questions. ICA always strives for same day resolution of all technical support issues that are reported if at all possible. CoC funded agencies are often looking for additional private funding and need to demonstrate need or effectiveness for those funds, we work with agencies to help back up thier applications with data.</p>	<p align="center">10</p>		
<p>17 Data Quality Reporting: Describe how the HMIS Lead regularly runs and disseminates data quality reports to participating programs, indicating levels of data entry completion, consistency and timeliness as compared to CoC-wide data quality standards. (10 points)</p>	<p>Self-Score (up to 10)</p>	<p>CoC Score (up to 10)</p>	<p>Scoring Notes</p>
<p>ICA designed all data quality aspects of CoC renewal applications (see attached), as well ESG renewal applications (see attached). ICA staff increased and redeveloped the ESG/SAF draw report data quality monitoring (see attached). ICA staff designed the CoC Monitoring report passed by the ICH thru the research and analysis subcommittee (see attached). We recently developed SSVF data quality reports to aid grantees with the just released VA data quality standards (see attached). ICA also reviews system level data quality prior to all major federal reporting periods (PIT, AHAR, System Performance Measures available HERE: https://www.icalliances.org/iowa-data-and-reports) any issues discovered are brought to the attention of the agency for correction and additional training is offered if necessary.</p>	<p align="center">10</p>		
<p>18 Issue Tracking: Explain how the HMIS Lead maintains and updates a list of HMIS system service requests, activities, deliverables and solutions. (10 points)</p>	<p>Self-Score (0 to 10)</p>	<p>CoC Score (0 to 10)</p>	<p>Scoring Notes</p>
<p>The ICA Iowa team holds monthly meetings to discuss all ongoing issues and escalations from end users as well as reviewing all upcoming required projects and uploads (federal/state/private). ICA also participates in several user groups and funder calls to stay abreast of all upcoming issues and data requirements. (CoC Quarterly Call, HUD HMIS Lead call, SSVF Grantee call, PATH meeting, CE Committee Calls, RHY webinars) ICA also has several internal teams that are reviewing software requirements/escalations raised in other states and communities to ensure that any potential issues are encountered.</p>	<p align="center">10</p>		

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19 Point in Time: Refer to the January 2018 Point in Time Count. (2 points for yes, 0 points for no)

Self-Score (0 or 2)	CoC Score (0 or 2)	Scoring Notes
2		

Was PIT data report to HUD in HDX by the 2018 deadline? ICA submitted our data on 4/17/2018, well before the HUD deadline of April 30, 2018.	Circle or enter: Yes
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<p>CERTIFICATION</p> <p>I certify that to the best of my knowledge and belief, the responses provided above in this application are true, accurate and complete. I further understand that false or incomplete information may result in this application being ineligible for funding.</p>  <p align="center">Primary Contact</p> <p align="right">4/15/2018 Date</p>
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<p>SUBMISSION CHECKLIST</p> <p>Be sure you have:</p> <ul style="list-style-type: none"> * attached staffing description as required in #12 * attached any documentation referenced in responses * completed a response and self-score for each item appropriate to your project * attached a copy of your policies and procedures document(s) relevant to this project * provided the appropriate signature on the CERTIFICATION box above (You may insert a signature electronically or print the page, sign and send as a scanned attachment.) * submit by 11:59 pm June 15, 2018 to amber.lewis@iowa.gov. * submit as one PDF that includes all attachments.

ICA's Iowa Balance of State HMIS Team:

Julie Eberbach

Associate Director/Iowa Project Director

Julie serves as ICA's Associate Director, overseeing agency administration in the areas of Federal and State policy compliance, grant compliance and human resources.

Gary Wickersing

Iowa Project Manager

Gary provides direct management of the Iowa HMIS team. He also supports the team by assisting with HMIS administration tasks, and oversight and review of all required federal and state reporting processes. Gary served as the designer of ICA's Point In Time/Housing Inventory on line reporting portal.

David Nelson

Iowa System Administrator

David serves as a System Administrator specializing in federal and state required reporting tools, such as the CoC APR, ESG CAPER, SSVF Data Upload, HOPWA CAPER, and PATH Program Reports. David serves as the principal designer of the data quality reports provided to system end users, and data reports to directly support the ESG and CoC application process. David can also support our team with help desk support and training as needed.

Shawn McAninch

Iowa System Administrator

Shawn serves ICA as our principal system trainer. He provides monthly trainings offerings for participating agencies at our Des Moines central office and in Iowa City at our remote training site. Shawn also supports the team with help desk support and produces our recorded refresher trainings found on ICA's website.

Patrick Schacherer

Iowa System Administrator

Patrick is our primary help desk specialist and works directly with day to day issues that an agency may face as they perform their project data entry. Although Patrick is mostly supported by ICA's Des Moines/Polk County CoC project, he regularly provides assistance to any agency across the state that may call in seeking assistance.

Ehren Stover-Wright

ICA Senior Analyst

Ehren supports the Iowa team with reporting and analysis of Iowa data to help support programmatic priorities and advocacy for homeless programs. Ehren publishes (among many other reports) data for the Iowa Council's "Day on the Hill" event, data on the need for affordable housing production, racial and economic disparity and their impacts on homelessness, and specialized reporting and design of our on-line homeless programs performance dashboards and annual reports.

Kimberly Grandstaff

Executive Assistant and Fiscal Manager

Kim provides administrative support to all of ICA, including all agency fiscal and grant reporting for all our federal and state programs.

Board of Directors
Corporate Secretary/
Executive Officer

Executive Director *

Associate
Director *

Administrative
Assistant

Dir Community
Impact *

Fiscal
Manager

AK
HMIS
Project

Boise
HMIS
Project

Omaha
HMIS
Project

Communications
Manager

Consulting
Accountant

IA HMIS
Director *

IA BOS CoC
Des Moines
CoC

Sioux City
CoC

MN HMIS
Director *

Central CoC
Hennepin Co CoC

Northwest CoC
Ramsey Co CoC

SMA CoC
Southeast CoC

Southwest CoC
St. Louis Co CoC
West Central CoC

MO HMIS
Director *

MO BOS CoC
Springfield CoC

Joplin CoC
City of St. Louis CoC
St. Louis County CoC

WI HMIS
Director *

WI BOS CoC
Dane Co CoC

Milwaukee CoC
Racine CoC

WY HMIS Project

VT HMIS Project
Rockford
HMIS Project

* Designates
Leadership Team

Special Projects /
Technical Assistance
North Dakota
DVIMS FEMA
Nashville
Disaster Recovery
Database

INSTITUTE for COMMUNITY ALLIANCES 2018

2018 ESG/SAF Application Report (Project results: 1/1/16 through 12/31/16)

Performance for 2016

1. How many total participants were served through the program in 2016	Shelter	Rapid Rehousing	Homelessness Prevention	Street Outreach
Number of participants that were served	785	3		
Number of adult or head-of-household participants served	639	1		
Number of adult or head-of-household participants served that entered program from the street, place not meant for human habitation, emergency shelter, safe haven or fleeing domestic violence	272	1		
Percentage of adult or head-of-household participants that entered directly from the street, place not meant for human habitation, emergency shelter, safe haven or fleeing domestic violence	43%	100%		

2. What was your agency's data completeness in ServicePoint? **Less than 2% missing (null) values**

Vet	Rela- tion- ship	DOB	Race	Gen- der	Ethn- icity	DI	Insur- ance	Loca- tion	Zip	Resid- ence Prior	LOS	Hmls start date	DV Surv- ivor	Edu	Emp	Any Income	Total Cash Income	Any Non cash
OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK

3. What was your agency's average data timeliness? **1.94 days (for 744 new entries)**

	Shelter	Rapid Rehousing	Homelessness Prevention	Street Outreach
4a. What was your program's average length of time from enrollment to permanently housed? (RRH ONLY)		7 days		
4b. Of the program participants that exited your Rapid Rehousing program, what percentage exited to a permanent destination? (RRH ONLY)		100%		
5. Identify your program's average length of stay and exits to permanent housing (Shelters ONLY)				
Average Length of Stay	28 days			
Exits to permanent housing	24%			
6. What percentage of program participant leavers exited to the streets or unknown destination? (Street Outreach ONLY)				
7. What percentage of program participants that exited your program remained in permanent housing? (Homelessness Prevention ONLY)				

Budget for 2016 (SHELTER ONLY)

2a. Maximum eligible request	Bed inventory (current)	Bednights Available	Bed nights provided 2016
ES - Emergency Shelter	59	21,535	20,882

User Prompt Field	Value(s) Selected
Projects(s)	Shelter House - Emergency Shelter (ES)(93); Shelter House - CoC & ESG Rapid Rehousing (RRH) (1343)
EDA Provider	-Default Provider-
Report_StartDate	1/1/2016 12:00:00 AM
Report_EndDate + 1 DAY	1/1/2017 12:00:00 AM

ESG/SAF Monthly Draw Report to Iowa Finance Authority

Grant Year 2018: Reporting Period: (1/1/18 - 03/31/2018)

Ave Data Entry (Intakes)

(Intakes must average no more than 14 days to input)

Days (reporting period)	40
Days (YTD)	40.14

 Explanation required

Please explain in detail why your agency's time to data entry is non-compliant

Completeness

(No field may show 5% or more in error)

 Complete

14 new clients enrolled in Reporting Period, of which 10 are adults and/or HoH.

14 new client enrolled Grant YTD, of which 10 are adults and/or HoH.

8 active clients, of which 8 are adults and/or HoH.

Permanent Housing - RRH

Move-in date at entry (not NULL)

43% 107014 615781 618487 619956 619962 621085

 Corrections mandatory

Move-in date at exit (missing)

 Complete

Move-in date < entry date

 Complete

Other Error Checks

 Complete

% Exit Destination Error

33%

Specific destination not completed

Please make all mandatory corrections

The next day after your mandatory corrections are completed, you will be able to print the report with the signature page.

User Prompt:

Value(s) Selected

Project(s)

ECDC - ESG Rapid Rehousing (RRH)(1418)

2018 CoC Project Renewal/Performance Report generated on: 4/24/18

Provider	Project Type
HACAP - Linn Co HUD II - Inn Circle (TH)(684)	Transitional housing (HUD)
Number of NEW project entries	73
Intake: Ave Data Entry Delay (DAYS)	2.96
12b) Does the agency maintain an average of 14 days or less between clients' program start and entry into HMIS?	Yes

Completeness																			
13) What was your project's data completeness in ServicePoint?										Less than 2% missing (null) values									
Vet	Rela- tion- ship	DOB	Race	Gen- der	Ethn- icity	DI	Insur- ance	Loca- tion	Zip	Resid- ence Prior	LOS	Hms start date	DV Surv- ivor	Edu	Emp	Any Income	Total Cash Income	Any Non- Cash	
OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK

Exit Destination Errors	% Exits
No exit interview completed (HUD)	18%
Data not collected (HUD)	0%
Other (HUD)	0%
Client doesn't know (HUD)	0%
Client refused (HUD)	0%
14) Total exit destination errors	18%
16a) Total number of participants served (All / Adults):	159 / 80
16b) Number of adult participants or head of households (HoH) served that came from the street, other locations not meant for human habitation, emergency shelters, safe havens, or fleeing domestic violence, including less than 90 days in institution with literally homeless immediately prior.	78
16c) Percentage of adult or head of household participants that entered from the sources above (b)/(a).	98%

Increased income: Adult Leavers (RRH & TH ONLY)

	Prior Year Counts	Current Year Counts	Difference
Number of adults who exited (system leavers)	41	37	-4
Number of adults who exited with increased total income	17	10	-7
20b1) Percentage of adults who increased total income	41%	27%	

Increased income: Adult Stayers (PSH ONLY)

	Prior Year Counts	Current Year Counts	Difference
Number of adults (system stayers)	19	12	-7
Number of adults who increased total income	6	7	1
20b2) Percentage of adults who increased total income	32%	58%	

Permanent Housing Placement/Retention: Metric 7

Metric 7b.1 - Change in exits to permanent housing destinations (TH)

	Prior Year Counts	Current Year Counts	Difference
Persons in TH who exited	75	76	1
Exited to permanent housing destinations	66	27	-39
20c1) Percentage successful exits/retention	88%	36%	

20d1) Number of adult participants who met the definition of chronically homeless (note: 2 points for youth-focused projects)

37

20d2) Percentage of adult participants who met the definition of chronically homeless:

46%

Iowa Balance of State CoC Monitoring / Performance Report

Provider	Project Type
HACAP - Linn Co HUD II - Inn Circle (TH)(684)	Transitional housing (HUD)
Number of NEW project entries	56
Intake: Ave Data Entry Delay (DAYS)	3.64
Does the agency maintain an average of 14 days or less between clients' program start and entry into HMIS?	Yes
Total number of participants served (All / Adults).	143 / 76
Number of adult participants or head of households served that come from the street, place not meant for habitation, emergency shelters, safe havens or fleeing domestic violence.	72
Percentage of adult or head of household participants that entered from the sources above (b)/(a).	95%
Exits to permanent housing destinations	42
Percent of exits to permanent housing destinations	47%

Increased income: Adult Leavers

	Prior Year Counts	Current Year Counts	Difference
Number of adults who exited (system leavers)	40	42	2
Number of adults who exited with increased total income	18	13	-5
Percentage of adults who increased total income	45%	31%	

Increased income: Adult Stayers

	Prior Year Counts	Current Year Counts	Difference
Number of adults (system stayers)	24	9	-15
Number of adults who increased total income	6	4	-2
Percentage of adults who increased total income	25%	44%	

Completeness

What was your project's data completeness in ServicePoint?

Less than 2% missing (null) values

Relationship	DOB	Race	Gender	Ethnicity	DI	Insurance	Location	Zip	Residence Prior	LOS	HmIs start date	DV Survivor	Edu	Emp	Any Income	Total Cash Income	Any Non-Cash
OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK	OK

Exit Destination Errors

	% Exits
No exit interview completed (HUD)	15%
Data not collected (HUD)	0%
Other (HUD)	0%
Client doesn't know (HUD)	0%
Client refused (HUD)	0%

User Prompt Field

User Prompt Field	Value(s) Selected
Provider	HACAP - Linn Co HUD II - Inn Circle (TH)(684)
Enter Prior Year Start Date	1/1/16
Report_StartDate	1/1/17
Report_EndDate + 1 DAY	1/1/18
EDA Provider	-Default Provider-
Enter effective date (should be the day the report was generated)	1/9/18
Report Version:	v12192017

Report generated on: 1/9/18

2018 SSVF Monitoring Report: Effective: 6/15/18

User Prompts	Selected
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SSVF Projects (ALL)

FAVA - SSVF Homeless Prevention BOS (HP)(1175);
 FAVA - SSVF Homeless Prevention Woodbury (HP)(1354);
 FAVA - SSVF Rapid Rehousing BOS (RRH)(1176);
 FAVA - SSVF Rapid Rehousing Woodbury (RRH)(1353)

(10/01/2017 - 06/14/2018)

Families Served	33
Singles Served	57
Total Households Served	90

Clients Exited (0-30 days)	4
Clients Exited (31-60 days)	15
Clients Exited (61-90 days)	8
Clients Exited (91-120 days)	9
Total Exited (4 months)	36

De-identified household list

Household UID	Client UID (HoH)
312184	511395
322704	523984
347057	554157
365132	576175
367147	578569
375418	588697
385741	603927
386655	605127
387321	606069
387369	606142
387564	606399
388494	607761
388669	608016
389454	609128
389673	609361
390064	608016
390273	610247
390379	606394
390982	611320
391241	611711
391269	611748
391360	611894
391361	611894
391530	612146
391704	612443
391763	612530
392546	603927
393791	576175
394742	607424
395297	618203
395318	618231
395552	618707
395553	618707
397636	622410
398246	623554
398459	623933
398799	624471
398820	624498
	530907
	555557
	570609
	572264
	573260

Entry Exit Destination	Total Clients
Rental by client, with VASH subsidy (HUD)	3

2018 SSVF Monitoring Report: Effective: 6/15/18

User Prompts

Selected

SSVF Projects (ALL)

FAVA - SSVF Homeless Prevention BOS (HP)(1175);
FAVA - SSVF Homeless Prevention Woodbury (HP)(1354);
FAVA - SSVF Rapid Rehousing BOS (RRH)(1176);
FAVA - SSVF Rapid Rehousing Woodbury (RRH)(1353)

Household UID

Client UID (HoH)

589439
593076
593843
601676
603763
605697
605819
605971
606389
606433
606454
607218
607281
607518
607767
607999
609111
610481
610502
610517
610851
611891
612100
612264
612572
613050
613176
613572
614630
615189
615486
615736
615970
616145
616854
617003
617217
618153
618457
618765
618782
619326
619342
619823
620165
620483
620894
621690

SSVF Data Quality Report (Universal Data Elements)

Grant Year 2018: Reporting Period: (10/1/17 - 06/13/2018)

Ave Data Entry (Intakes)

(Intakes must average no more than 14 days to input)

Compliant

Completeness

(No field may show 5% or more in error)

Complete

19 new clients enrolled in Reporting Period, of which 19 are adults and/or HoH.

19 new client enrolled Grant YTD, of which 19 are adults and/or HoH.

10 active clients, of which 10 are adults and/or HoH.

Permanent Housing - RRH

Move-in date at entry (not NULL)

Complete

Move-in date at exit (missing)

Complete

Move-in date < entry date

Complete

Other Error Checks

Information only

Complete

% Exit Destination Error

27%

Specific destination not completed

Agency Certification:

By signing and submitting this document to Iowa Finance Authority (IFA), I certify that I have reviewed the information in this report and that the report accurately reflects all clients served.

ServicePoint Agency Administrator Name (PLEASE PRINT)

Agency Administrator Signature

Date

User Prompt:

Value(s) Selected

Project(s)

FAVA - SSVF Rapid Rehousing BOS (RRH)(1176)

POPULATION DEMOGRAPHICS

1	Total number of individuals who received services during the reporting period.	8
3	Of the number of individuals entered in question 1, how many were NEW individuals who received services from your agency for the first time during the reporting period.	8
4	Demographics (for NEW individuals identified in Question 4)	
	A. RACE/ETHNICITY (self-reported)	
	American Indian or Alaska Native	0
	Asian	0
	Black or African American	3
	Hispanic or Latino	0
	Native Hawaiian or Other Pacific Islander	0
	White Non-Latino or Caucasian	5
	Some Other Race	0
	Multiple Races	0
	Not Reported	0
	Not Tracked	0
	Race/Ethnicity Total	8
	B. GENDER IDENTITY (self-reported)	
	Male	0
	Female	8
	Other	0
	Not Reported	0
	Not Tracked	0
	Gender Total	8
	C. AGE (self-reported)	
	Age 0-12	0
	Age 13-17	0
	Age 18-24	0
	Age 25-59	8
	Age 60 and Older	0
	Not Reported	0
	Not Tracked	0
	Age Total	8
5	TYPES OF VICTIMIZATIONS (for ALL individuals identified in Question 1)	
	A. Number of individuals who received services based on a presenting victimization during the reporting period	
	Adult Physical Assault (Includes Aggravated and Simple Assault)	0
	Adult Sexual Assault	0
	Adults Sexually Abused/Assaulted as Children	0
	Arson	0
	Bullying (Verbal, Cyber or Physical)	0

VAWA/VOCA Performance Measures Report (01/01/2018 - 03/31/2018)

Burglary	0
Child Physical Abuse or Neglect	0
Child Pornography	0
Child Sexual Abuse/Assault	0
Domestic and/or Family Violence	5
DUI/DWI Incidents	0
Elder Abuse or Neglect	0
Hate Crime: Racial/Religious/Gender/Sexual Orientation/Other (Explanation Required)	0
Human Trafficking: Labor	0
Human Trafficking: Sex	0
Identity Theft/Fraud/Financial Crime	0
Kidnapping (non-custodial)	0
Kidnapping (custodial)	0
Mass Violence (Domestic/International)	0
Other Vehicular Victimization (e.g. Hit and Run)	0
Robbery	0
Stalking/Harassment	0
Survivors of Homicide Victims	0
Teen Dating (Victimization)	0
Terrorism (Domestic/International)	0
 B. Of the individuals who received services, how many presented with more than one type of victimization during the reporting period?	 0
 C. Special classification of individuals (self-reported)	
Deaf/Hard of Hearing	0
Homeless	1
Immigrants/Refugees/Asylum Seekers	0
LGBTQ	0
Veterans	0
Victims with Disabilities: Cognitive/Physical/Mental	3
Victims with Limited English Proficiency	0

DIRECT SERVICES

D. Shelter / Housing Services	Enter the number of individuals who received services in this category	8
	D1. Emergency shelter or safe house	8
	D2. Transitional housing	0
	D3. Relocation assistance (includes assistance with obtaining housing)	0

Project(s) selected: Northern Lights - Men's Emergency Shelter (ES)(486);
Northern Lights - New Beginnings House of Hope (ES)(712);
Northern Lights - Transitional Housing for Men (TH)(488)

#ERROR

United Way

Clients Served	Clients Exited
165	92
Adults Served	Adults Exited
137	75
Children Served	Children Exited
28	17

Last Grade Completed (Entry)	Adults (Exited)	Last Grade Completed (Exit)	Adults (Exited)
GED	23	Bachelor's degree	1
Grade 12 / High school diploma	31	GED	23
Grades 7 - 8	2	Grade 12 / High school diploma	30
Grades 9 - 11	14	Grades 7 - 8	2
Graduate degree	1	Grades 9 - 11	14
Some College	4	Graduate degree	1
	0	Some College	4
			0

Employed (Entry)	Count Adults Exited	Employed (Exit)	Count Adults Exited
No (HUD)	66	No (HUD)	53
Yes (HUD)	12	Yes (HUD)	25
	0		0

Entry Exit Destination	Count Adults Exited
Emergency shelter, including hotel c	3
Hospital or other residential non-psy	2
Hotel or motel paid for without emer	1
Jail, prison or juvenile detention faci	5
No exit interview completed (HUD)	6
Permanent housing (other than RRI	2
Psychiatric hospital or other psychie	3
Rental by client, no ongoing housing	15
Rental by client, with other ongoing	3
Safe Haven (HUD)	1
Staying or living with family, permar	19
Staying or living with friends, perma	20
Staying or living with friends, tempo	1
Substance abuse treatment facility c	1
Transitional housing for homeless p	1

Institute for Community Alliances

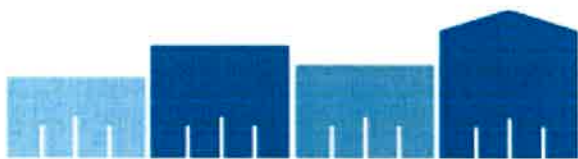
Homeless Management Information System

POLICIES & PROCEDURES

For: Iowa Balance of State CoC

Des Moines/Polk County CoC

Sioux City/Woodbury County CoC



Institute for Community Alliances

1111 Ninth Street, Suite 245

Des Moines, IA 50314

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1. INTRODUCTION

This document provides the framework for the ongoing operations of the Institute for Community Alliances Homeless Management Information System Project (ICA HMIS). The *Project Overview* provides the main objectives, direction and benefits of ICA HMIS. The *Governing Principles* establish the values that are the basis for all policy statements and subsequent decisions. Finally, the *Operating Procedures* provide specific policies and steps necessary to control the operational environment for:

Privacy

- Release and Disclosure of Client Data

Security

- User Authorization
- Server Security
- Server Availability
- Workstation Security

Data Quality

- Project Participation
- Collection and Entry of Client Data
- Training
- Technical Support

Other Obligations and Agreements discuss external relationships required for the continuation of this project.

2. PROJECT OVERVIEW

The long-term vision of the ICA HMIS is to enhance our Continua of Care participating agencies' collaboration, service delivery and data collection capabilities. Accurate information will put the various Continua of Care that ICA supports in a better position to request funding from various sources and help plan better for future needs.

The mission of the ICA HMIS Project is to support an integrated network of homeless and other service 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 local service planning and delivery.

The fundamental goal of the ICA HMIS is to document the demographics of homelessness in our partner Continua according to the HUD HMIS Data and Technical 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 the actual experiences of homeless persons and the service providers who assist them in shelters and homeless assistance programs throughout the partner Continua. Data that is gathered via intake interviews and program participation will be used to complete HUD required and related reports. This data may also be analyzed to provide unduplicated counts and anonymous aggregate data to policy makers, services providers, advocates, and consumer representatives.

The project utilizes a web-enabled application (ServicePoint™) residing on a central server to facilitate data collection by homeless service organizations across the various CoCs. Access to the central server is limited to agencies formally participating in the project and then only to authorized staff members who meet the necessary training and security requirements.

This HMIS project is staffed and advised by The Institute for Community Alliance. The Institute for Community Alliance's Executive Director is the authorizing agent for all agreements made between participating agencies and The Institute for Community Alliance. The ICA HMIS System Administrators are responsible for the administration of the network and user access. The Institute for Community Alliance Project Staff will also provide training and technical assistance to users of the system throughout the continua.

Various data related sub-committees of the Continua are responsible for oversight and guidance of the ICA HMIS. These groups are committed to balancing the interests and needs all stakeholders involved; homeless men, women, and children; service providers; and policy makers.

Potential benefits for homeless men, women, and children and case managers: Service coordination can be improved when information is shared among case management staff within one agency or with staff in other agencies (with written client consent) 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 for funding agencies such as HUD.

Potential benefits for community-wide Continua of Care and policy makers: CoC - wide involvement in the project provides the capacity to generate HUD Annual Progress Reports (APRs), Consolidated Annual Performance and Evaluation Reports (CAPERs), and other HUD required or related reports. The network provides data to the Continua of Care and allows access to aggregate information both at the local and regional level that will assist in identification of gaps in services, as well as the completion of other service reports used to inform local policy decisions aimed at addressing and ending homelessness.

3. Governing Principles

Described below are the overall governing principles upon which all decisions pertaining to the ICA HMIS are based.

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

Confidentiality

The rights and privileges of clients are crucial to the success of the ICA HMIS. These policies will ensure clients' privacy without impacting the delivery of services, which is the primary focus of agency programs participating in this project.

Policies regarding client data are founded on the premise that a client owns his/her own personal information and provide the necessary safeguards to protect client, agency, and policy level interests. Collection, access and disclosure of client data through the ICA 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 ICA HMIS. 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 state or CoC-wide aggregation of unduplicated homeless statistics. The System Administrator is responsible for ensuring the broadest deployment and availability for homeless service agencies across all participating Continua.

Compliance

Violation of the 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 will result in the withdrawal of system access for the offending entity.

4. Roles and Responsibilities

The Institute for Community Alliances**Executive/Associate Director**

- Liaison with HUD
- Project Staffing
- The Institute for Community Alliances Signatory for Memorandums of Understanding
- Overall Responsibility for Success of ICA HMIS

Project Manager (Security Officer) and System Administrator

- Selection and Procurement of Server Hardware
- Hosting Facility Agreement
- Domain Registration
- Procurement of Server Software and Licenses
- Distribution of End User Licenses
- Creation of Project Forms and Documentation
- Project Website Maintenance
- Project Policies and Procedures and Compliance

- General Ongoing Network Management
- Central Server Administration
 - ◆ Server Security, Configuration, and Availability
 - ◆ Maintenance of Software
 - ◆ Configuration of Network and Security Layers
 - ◆ Anti-Virus Protection for Server Configuration
 - ◆ System Backup and Disaster Recovery
- Keeper of Signed Memorandums of Understanding
- User Administration
 - ◆ Manage participating Agency Administrators
 - ◆ Manage User Licenses
- System Uptime and Performance Monitoring
- Ongoing Protection of Confidential Data
- Curriculum Development
- Training Documentation
- Confidentiality Training
- Application Training for Agency Administrators and End Users
- Outreach/End User Support
- Training Timetable
- Helpdesk

Data Analyst

- 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)

Participating Agency (CoC)

Participating Agency Executive Director

- Authorizing Agent for CoC agreements (Memorandum of Understanding)
- Designation of Agency Administrator
- Agency Compliance with Policies and Procedures
- Oversight and Distribution of End User Licenses

- Agency Level HUD Reporting
- Each Participating Agency is responsible for ensuring they meet the Privacy and Security requirements detailed in the HUD HMIS Data and Technical Standards. Annually, Participating Agencies, in cooperation with the Institute will conduct a thorough review of internal policies and procedures regarding HMIS.

Participating Agency Administrator

- Authorizing Agent for Participating Agency User Agreements
- Keeper of Participating Agency User Agreements
- Keeper of Executed Client Informed Consent Forms
- Authorizing Agent for End User License Requests
- Staff Workstations
- Internet Connectivity
- End User Adherence to Workstation Security Policies
- Detecting and Responding to Violations of the Policies and Procedures
- First Level End User Support
- Maintain Agency/Program Data in ICA HMIS Application

Agency End User Staff

- Safeguard Client Privacy Through Compliance with Confidentiality Policies
- Data Collection as Specified by Training and Other Documentation

5. Operating Procedures * Security

5.1 Project Participation

Policies

- Agencies participating in ICA HMIS shall commit to abide by the governing principles of ICA HMIS 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 ICA HMIS by submitting a Memorandum of Understanding to the ICA HMIS System Administrator.
2. The ICA HMIS System Administrator will obtain the co-signature of The Institute for Community Alliance Executive Director.
3. The ICA HMIS System Administrator will maintain a file of all signed Memorandums of Understanding.
4. The ICA HMIS System Administrator will maintain a list of all Partner Agencies

Terminate Participation

Voluntary

1. The Partner Agency shall inform the ICA HMIS System Administrator in writing of their intention to terminate their agreement to participate in ICA HMIS.
2. The ICA HMIS System Administrator will inform the The Institute for Community Alliance's Executive Director and update the Participating Agency List.
3. The ICA HMIS System Administrator will revoke access of the Partner Agency staff to ICA HMIS. Note: All Partner Agency-specific information contained in the ICA HMIS System will remain in the ICA HMIS system.
4. The ICA HMIS System Administrator will keep all termination records on file with the associated Memorandums of Understanding.

Lack of Compliance

1. When the ICA HMIS System Administrator determines that a Partner Agency is in violation of the terms of the partnership, Executive Directors of Partner Agency and ICA will work to resolve the conflict(s).
2. If the Executive Directors are unable to resolve conflict(s), the appropriate CoC Data Committee will be called upon to resolve the conflict. If that results in a ruling of Termination:
 - i. The Partner Agency will be notified in writing of the intention to terminate their participation in ICA HMIS.
 - ii. The ICA HMIS System Administrator will revoke access of the Partner Agency staff to ICA HMIS.

- iii. The ICA HMIS System Administrator will keep all termination records on file with the associated Memorandums of Understanding.

Assign Primary HMIS Administrator Contact

1. The Partner Agency shall designate a primary contact for communications regarding ICA HMIS by submitting information in writing to the ICA HMIS System Administrator.
2. The ICA HMIS System Administrator will obtain all signatures necessary to execute the Partner Agency Technical Administrator Agreement.
3. The ICA HMIS System Administrator will maintain a file of all signed Technical Administrator Assignment forms.
4. The ICA HMIS System Administrator will maintain a list of all assigned Partner Agency Technical Administrators and make it available to the ICA HMIS staff.

Re-Assign Technical Administrator

1. The Partner Agency may designate a new or replacement primary contact in the same manner as above.

Site Security Assessment

1. Prior to allowing access to ICA HMIS, the Partner Agency Technical Administrator and the ICA HMIS System Administrator may meet to review and assess the security measures in place to protect client data. The Partner Agency Executive Director (or designee) and Partner Agency Administrator may meet with a The Institute for Community Alliance staff member to assess The Partner Agency's information security protocols. This review shall in no way reduce the responsibility for Partner Agency information security, which is the full and complete responsibility of the Partner Agency, its Executive Director, and Administrator.
2. Partner Agencies shall have virus protection software on all computers that access ICA HMIS.

a. User Authorization & Passwords

Policies

- Partner Agency staff participating in ICA HMIS shall commit to abide by the governing principles of ICA HMIS and adhere to the terms and conditions of the Partner Agency User Agreement.
- The Partner Agency Technical Administrator must only request user access to ICA 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, first time only, passwords will be communicated via email or phone 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 at least 8 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 and Technical Standards Final Notice (July 2004):
User authentication. Baseline Requirement. A CHO must secure HMIS systems with, at a minimum, a user authentication system consisting of a username and password. Passwords must be at least eight characters long and meet reasonable industry standard requirements.
- Passwords must be changed every 45 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 Administrators and Agency Users, passwords may only be reset by the ICA HMIS System Administrator.
- Three consecutive unsuccessful attempts to login will disable the User ID until the account is reactivated by the ICA HMIS System Administrator.
- It is the responsibility of the partnering Agency to inform The Institute for Community Alliance about any changes to IP address information previously submitted and approved for authorized access to ICA HMIS.

Procedures

Workstation Security Assessment

1. Prior to requesting user access for any staff member, the Partner Agency Administrator will assess the operational security of the user's workspace.
2. Partner Agency Administrator will confirm that workstation has virus protection properly installed and that a full-system scan has been performed within the last week.
3. Partner Agency Administrator will confirm that workstation has and uses a hardware or software firewall.

Request New User ID

1. When the Partner Agency Administrator identifies a staff member that requires access to ICA HMIS, a "User Ethics & Responsibility Agreement" (UERA) *will* be provided to the prospective user.
2. The prospective user must read, understand and sign the *UERA* and return it to the Executive Director.
3. The Agency Executive Director will co-sign the *UERA*, retain a copy on file and return original to ICA.
4. The ICA System 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 Administrator determines that it is necessary to change a user's access level, the Partner Agency Technical Administrator will contact ICA who will update the user ID as needed.

Rescind User Access

Voluntary

Use this procedure when any ICA HMIS user leaves the agency or otherwise becomes inactive.

Compliance Failure:

Use this procedure when any ICA HMIS user breaches the "User Ethics & Responsibility Agreement" (UERA), or violates

the Policies and Procedures, or breaches confidentiality or security.

1. The Partner Agency Administrator will deactivate staff user IDs
2. The ICA HMIS System Administrator will deactivate all other user IDs

Reset Password

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

b. Collection and Entry of Client Data

****Privacy/Data Quality***

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 ICA HMIS with client's authorization to do so.
- All universal and program data elements from the HUD ICA HMIS Data and Technical Standards Final Draft should be collected, subject to client consent.
- Client data will only be shared with Partner Agencies if the client consents, has signed the Client Consent form, and the signed Client Consent form is available on record.
- Client data will be entered into ICA HMIS in a timely manner.
 - ◆ Client identification should be completed during the intake process or as soon as possible following intake and within 24 hours.
 - ◆ Required assessments should be entered as soon as possible following the intake process and within 48 hours.

- ◆ If service records are recorded, ICA recommends these should be entered on the day services began or as soon as possible within the next 24 hours.

- All client data entered into ICA HMIS will be kept as accurate and as current as possible.
- Hardcopy or electronic files will continue to be maintained according to individual program requirements, and according to the HUD ICA HMIS Data and Technical Standards Final Draft.
- No data may be imported without the client's authorization.
- Any authorized data imports will be the responsibility of the Partner Agency.
- Partner Agencies are responsible for the accuracy, integrity, and security of all data input by said Agency.
- Our Continuum of Care is committed to entering client specific data into ICA HMIS that is accurate, complete, and timely to ensure quality of data, and to provide reports to agency executive management, public policy decision makers, and all participating homeless service and housing providers.
- Data quality of client specific data is essential to the meaningful analysis and accurate reporting of Continuums of Care data.
- Data quality shall be a concern of highest importance and all members of Continuums of Care will work to continuously improve quality.
- Quality assurance shall be the ultimate responsibility of each Partner's Agency's Executive Director. The Institute for Community Alliance will provide Exception Reports to the Partner Agency Technical Administrator who is designated by the Partner Agency Executive Director.
- The Partner Agency that creates a client record owns the responsibility for a baseline of data quality to include: non-duplication of client record, Release of Information (ROI), Universal & Program level data elements as defined by HUD Data Standards, up-to-date Program Entries and Exits, and answers to the questions, "Currently Homeless?" and "Chronically Homeless?".
- Each Partner Agency that comes in contact with a client has an opportunity to improve data quality and should make every effort to do so when that opportunity arises.

- Each Partner Agency has agreed to and is responsible for collecting and entering all of the data elements on Iowa Basic or MACCH Basic Intake Form, whether required by HUD or not.
- The Continuums of Care will decide on a plan to dispose of (or remove identifiers from) client data seven (7) years after it was created or last changed.

Procedures

1. Refer to User Manual and/or Training Materials for specific data entry guidelines.
2. The Institute for Community Alliance will provide each agency with an ongoing Exceptions Report, and provide the training necessary in order for the Partner Agency to be able to download and report to the appropriate parties within the agency.
3. The Partner Agency Technical Administrator will share data with authorized personnel only (those with ICA HMIS authorization).
4. Partner Agency Technical Administrator will be responsible for reviewing the weekly Exception Reports and notifying users to make corrections, within one week.
5. Partner Agency Technical Administrator will inform the ICA HMIS System Administrator if there are any technical issues retrieving the Exception Reports within three (3) business days.
6. Upon request of Partner Agency Executive Management, The Institute for Community Alliance will provide measures and metrics to verify data quality.
7. Upon request by The Continuum's Executive Committee, The Institute for Community Alliance will provide measures and metrics to assess the data quality of individual programs.
8. The CoC's Data Committee shall develop with ICA the procedure to properly dispose of client data within the seven-year time frame allocated in the HUD Data Standards.

c. Release of Disclosure of Client Data

Policies

- Client-specific data from ICA HMIS 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-ICA HMIS inter-agency agreements do not cover the sharing of ICA 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 (see Release of Information). Note that services may NOT be denied if client refuses to sign Release of Information or declines to state any information.
- Release of Information must constitute INFORMED consent. The burden rests with the intake staff to inform the client before asking for consent. As part of informed consent, a notice must be posted explaining the reasons for collecting the data, the client's rights, and any potential future uses of the data. An example of such a sign for posting may be found at www.icalliances.org under "Iowa Forms".
- Client shall be given print out of all data relating to them upon written request and within 10 working days.
- A report of data sharing events, including dates, agencies, persons, and other details, must be made available to the client upon request and within 10 working days.
- 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 Partner Agency Executive Director is responsible for his or her agency's internal compliance with the HUD Data Standard.

Procedures

1. Procedures for disclosure of client-specific data are readily obtained from the above policies, combined with the configuration of ICA HMIS, which facilitates appropriate data sharing.

5.5 Server Security

Policies

- The ICA HMIS System Administrator and our HMIS Vendor will strive to secure and keep secure the servers, both physically and electronically.

Procedures

1. All procedures for maximizing Server Security are the responsibility of the ICA HMIS System Administrator and our HMIS vendor.

5.6 Server Availability

Policies

- The ICA HMIS System Administrator will strive to maintain continuous availability by design and by practice.
- Necessary and planned downtime will be scheduled when it will have least impact, for the shortest possible amount of time, and will only come after timely communication to all participants.
- The ICA HMIS System Administrator is responsible for design and implementation of a back and recovery plan (including disaster recovery).

Procedures

1. A user should immediately report unplanned downtime to his or her Partner Agency Technical Administrator.
2. All other procedures for maximizing server availability, recovering from unplanned downtime, communicating, and avoiding future downtime are the responsibility of the ICA HMIS System Administrator.
3. The ICA HMIS System Administrator or our HMIS vendor will backup system, software, and database data on a weekly basis, as well as incremental backups nightly.

5.7 Workstation Security

Policies

- The Partner Agency Technical Administrator is responsible for preventing degradation of the whole system resulting from viruses, intrusion, or other factors under the agency's control.
- The Partner Agency Technical Administrator is responsible for preventing inadvertent release of confidential client-specific information. Such release may come from physical or electronic or even visual access to the workstation, thus steps should be taken to prevent these modes of inappropriate access (that is, don't let someone read over your shoulder: lock your screen).

- All workstations to be used with ICA HMIS must be secured by a firewall between the workstation and the internet. Software firewalls are acceptable.
- Recommended Internet connection: DSL or Cable Modem, at least 128 kbits.
- Definition and communication of all procedures to all Partner 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 Technical Administrator.

Procedures

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

5.8 Training

Policies

- The Partner Agency Executive Director shall obtain the commitment of the Partner Agency Technical Administrator and designated staff persons to attend training(s) as specified in the *Memorandum of Understanding (MOU)* between Partner Agency and The Institute for Community Alliance.

Procedures

Start-up Training

The Institute for Community Alliance will provide training in the following areas prior to the Partner Agency using ICA HMIS:

- Partner Agency Administrator training
- End User training
- Confidentiality training

Partner Agency Technical 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:

- New user set-up
- Assigning agency within ICA HMIS hierarchy
- End User training
- Running package reports

- Creating customized reports

5.9 Compliance

Policies

- Compliance with these Policies and Procedures is mandatory for participation in ICA HMIS.
- Using the Servicepoint™ software, all changes to client data are recorded and will be periodically and randomly audited for compliance.
- Each Partner Agency is responsible for ensuring they meet the Privacy and Security requirements detailed in the HUD HMIS Data and Technical Standards. Annually, Partner Agencies will conduct a thorough review of internal policies and procedures regarding ICA HMIS.

Procedures

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

5.10 Technical Support

Policies

- Support requests include problem reporting, requests for enhancements (features), or other general technical support.
- Users shall submit support requests to their Partner Agency Technical Administrator (email is suggested).
- Users shall not, under any circumstances, submit requests to software vendor.
- Users shall not submit requests directly to The Institute for Community Alliance without specific invitation. All requests to The Institute for Community Alliance shall be submitted to Partner Agency Technical Administrator, who may then escalate to The Institute for Community Alliance, who may then escalate to vendors as appropriate.
- The Institute for Community Alliance will only provide support for issues specific to ICA HMIS 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 Technical 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 contact.
3. The Partner Agency Administrator, upon receipt of a support request, shall make reasonable attempts to resolve the issue.
4. If the Partner Agency Administrator is unable to resolve the issue and determines that the problem is specific to ICA HMIS software and systems, the Partner Agency Administrator shall consolidate multiple similar requests and submit to ICA. *Note: If the Support Request is deemed by ICA HMIS System Administrator to be an agency-specific customization¹, resolution of the request may be prioritized accordingly. ICA reserves the right to charge on an hourly basis for these changes if/when the workload for such agency-specific customizations becomes burdensome.*
5. The ICA HMIS System Administrator may at this point determine that the cause of reported issue is outside the scope of control of the ICA HMIS software and systems.
6. The ICA HMIS System Administrator will consolidate such requests from multiple Partner Agencies, if appropriate, and strive to resolve issues according to their severity and impact.
7. If the ICA HMIS System Administrator 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, the ICA HMIS System Administrator will provide instructions via email to the Partner Agency Administrator.

5.11 Changes to This and Other Documents

Policies

- The Data Committee of the Continua will guide the compilation and amendment of these Policies and Procedures.

Procedures

Changes to Policies & Procedures

1. Proposed changes may originate from any participant in ICA HMIS.
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 ICA HMIS System Administrator for review and discussion.
3. ICA HMIS System Administrator will maintain a list of proposed changes.
4. The list of proposed changes will be discussed by the Technology Committee, subject to line item excision and modification. This discussion may occur either at a meeting of the Technology Committee, or via email or conference call, according to the discretion and direction of the Technology Committee Chairperson.
5. Results of said discussion will be communicated, along with the amended Policies and Procedures. The revised Policies and Procedures will be identified within the document by the date of the Technology Committee discussion.
6. Partner Agencies Executive Directors shall acknowledge receipt and acceptance of the revised Policies and Procedures within 10 working days of delivery of the amended Policies and Procedures by notification in writing or email to ICA HMIS System Administrator. The Partner Agency Executive Director shall also ensure circulation of the revised document within their agency and compliance with the revised Policies and Procedures.

6 Other Obligations and Agreements

Certain HUD grants for ICA HMIS projects provide for a limited number of user licenses within various Continua. While it may not be possible to meet every agency's full requirements for licenses within the HUD grant to The Institute for Community Alliance, the ICA HMIS System Administrator will endeavor to ensure that every agency

participating in Continuum with these designated funds, will have their minimum requirements met from the HUD grant as long as these funds are available.

6.1 HUD HMIS Data and Technical Standards

This document should, at a minimum, reflect the baseline requirements listed in the HMIS Data and Technical Standards Final Notice, published by HUD in July 2004, and revised in 2010 and 2014. Users of ICA HMIS are required to read and comply with the HMIS Data and Technical Standards. Failure to comply with these standards carries the same consequences as does failure to comply with these Policies and Procedures. In any instance where these Policies and Procedures are not consistent with the ICA HMIS Standards from HUD, the HUD Standards take precedence. Should any inconsistencies be identified, notice should be made to:

david.eberbach@icalliances.org

6.2 HIPAA

For agencies or programs where HIPAA applies, HIPAA requirements take precedence over both the HUD ICA HMIS Data Requirements (as specified in those requirements) and these policies and procedures.

It should be noted here that the Iowa HMIS network software ServicePoint™ is fully HIPPA compliant and can support HIPPA requirements in the local agency setting.