

## Before Starting the CoC Application

The CoC Consolidated Application is made up of two parts: the CoC Application and the CoC Priority Listing, with all of the CoC's project applications either approved and ranked, or rejected. The Collaborative Applicant is responsible for submitting both the CoC Application and the CoC Priority Listing in order for the CoC Consolidated Application to be considered complete.

The Collaborative Applicant is responsible for:

1. Reviewing the FY 2017 CoC Program Competition NOFA in its entirety for specific application and program requirements.
2. Ensuring all questions are answered completely.
3. Reviewing the FY 2017 CoC Consolidated Application Detailed Instructions, which gives additional information for each question.
4. Ensuring all imported responses in the application are fully reviewed and updated as needed.
5. The Collaborative Applicant must review and utilize responses provided by project applicants in their Project Applications.
6. Some questions require the Collaborative Applicant to attach documentation to receive credit for the question. This will be identified in the question.

- Note: For some questions, HUD has provided documents to assist Collaborative Applicants in filling out responses. These are noted in the application.

- All questions marked with an asterisk (\*) are mandatory and must be completed in order to submit the CoC Application.

For CoC Application Detailed Instructions click [here](#).

## 1A. Continuum of Care (CoC) Identification

### **Instructions:**

For guidance on completing this application, please reference the FY 2017 CoC Application Detailed Instructions and the FY 2017 CoC Program Competition NOFA. Please submit technical questions to the HUD Exchange Ask A Question.

**1A-1. CoC Name and Number:** UT-504 - Provo/Mountainland CoC

**1A-2. Collaborative Applicant Name:** United Way of Utah County

**1A-3. CoC Designation:** CA

**1A-4. HMIS Lead:** Department of Workforce Services, State of Utah

## 1B. Continuum of Care (CoC) Engagement

**Instructions:**

For guidance on completing this application, please reference the FY 2017 CoC Application Detailed Instructions and the FY 2017 CoC Program Competition NOFA. Please submit technical questions to the HUD Exchange Ask A Question.

**1B-1. From the list below, select those organization(s) and/or person(s) that participate in CoC meetings. Using the drop-down boxes, indicate if the organization(s) and/or person(s): (1) participate in CoC meetings; and (2) vote, including selection of CoC Board members. Responses should be for the period from 5/1/16 to 4/30/17.**

Organization/Person Categories	Participates in CoC Meetings	Votes, including electing CoC Board Members
Local Government Staff/Officials	Yes	Yes
CDBG/HOME/ESG Entitlement Jurisdiction	Yes	Yes
Law Enforcement	No	No
Local Jail(s)	Yes	No
Hospital(s)	Yes	No
EMT/Crisis Response Team(s)	Yes	Yes
Mental Health Service Organizations	Yes	Yes
Substance Abuse Service Organizations	Yes	Yes
Affordable Housing Developer(s)	Yes	Yes
Disability Service Organizations	Yes	Yes
Disability Advocates	Yes	Yes
Public Housing Authorities	Yes	Yes
CoC Funded Youth Homeless Organizations	Not Applicable	No
Non-CoC Funded Youth Homeless Organizations	Yes	Yes
Youth Advocates	Yes	Yes
School Administrators/Homeless Liaisons	Yes	Yes
CoC Funded Victim Service Providers	Yes	Yes
Non-CoC Funded Victim Service Providers	Yes	Yes
Domestic Violence Advocates	Yes	Yes
Street Outreach Team(s)	Yes	Yes
Lesbian, Gay, Bisexual, Transgender (LGBT) Advocates	Yes	Yes
LGBT Service Organizations	Yes	Yes
Agencies that serve survivors of human trafficking	Yes	Yes
Other homeless subpopulation advocates	Yes	Yes
Homeless or Formerly Homeless Persons	Yes	Yes
Other:(limit 50 characters)		

Faith-based representative	Yes	Yes
Job Corps	Yes	Yes

**Applicant must select Yes, No or Not Applicable for all of the listed organization/person categories in 1B-1.**

**1B-1a. Describe the specific strategy(s) the CoC uses to solicit and consider opinions from organizations and/or persons that have an interest in preventing or ending homelessness. (limit 1000 characters)**

The CoC regularly reaches out to entities that have any expertise about homelessness and encourages them to attend meetings to ensure that local needs are addressed. These organizations are given the opportunity to either present agenda items or to express needs and opportunities that would benefit clients in the region. Information such as new affordable housing projects, job fairs, trainings, clinical resources, etc. are shared. These meetings are held for both the Utah and Wasatch/Summit county areas. Further, all CoC members are assigned to at least one subcommittee to apply their expertise. Committees range from Youth and Education, Discharge Planning, Coordinated Support Services, Community Relations Committee, the Rank and Review Committee, and the Housing Solutions Workgroup. These groups' meeting frequency ranges from bi-weekly to quarterly. The CoC also operates a website, Facebook account, and Twitter account to publicize and receive feedback about CoC region needs.

**1B-2. Describe the CoC's open invitation process for soliciting new members, including any special outreach. (limit 1000 characters)**

The CoC staff reviews membership annually to ensure representation throughout the region. Potential members are also presented to CoC staff through other member organizations, solicitations through email after engaging with the website, conferences, etc. New members typically become involved every few months. Any new entities who are invited to become members engage in an orientation with staff and are encouraged to attend monthly CoC meetings. After this occurs, they are voted in as official members and introduce themselves to other member organizations. Three examples of new members for 2016-2017 are the LGBT youth service organization Encircle, the Job Corps, and a non-profit organization called New Beginnings that helps formerly incarcerated individuals with housing support and employment. Our CoC typically does not directly recruit formerly homeless individuals as members, but member organizations both employ and consult with formerly homeless persons regularly.

**1B-3. Describe how the CoC notified the public that it will accept and consider proposals from organizations that have not previously received CoC Program funding in the FY 2017 CoC Program Competition, even if the CoC is not applying for new projects in FY 2017. The response must**



**include the date(s) the CoC made publicly knowing they were open to proposals.  
(limit 1000 characters)**

The CoC notified the public through a public RFP on the Continuum website and through membership mass email on July 17, 2017, and through a non-profit association newsletter on July 21, 2017. This announcement included a timeline with all dates regarding orientation, requirements, application deadlines, and the rank and review process. The RFP specifically invited all eligible providers (public agencies and non-profit organizations) who serve homeless persons and who also pursue housing assistance dollars to attend a new applicant orientation. Further, CoC staff directly contacted several organizations within the jurisdiction via email and phone to assert the new possibilities of the new Joint TH-RRH model. Two agencies who had never received funding were interested, but eventually declined due to staff capacity shortages. One of these agencies postulated the possibility of applying during the 2018 NOFA competition.

# 1C. Continuum of Care (CoC) Coordination

## Instructions:

For guidance on completing this application, please reference the FY 2017 CoC Application Detailed Instructions and the FY 2017 CoC Program Competition NOFA. Please submit technical questions to the HUD Exchange Ask A Question.

**1C-1. Using the chart below, identify the Federal, State, Local, Private and Other organizations that serve homeless individuals, families, unaccompanied youth, persons who are fleeing domestic violence, or those at risk of homelessness that are included in the CoCs coordination; planning and operation of projects. Only select "Not Applicable" if the funding source(s) do not exist in the CoC's geographic area.**

Entities or Organizations the CoC coordinates planning and operation of projects	Coordinates with Planning and Operation of Projects
Housing Opportunities for Persons with AIDS (HOPWA)	Yes
Temporary Assistance for Needy Families (TANF)	Yes
Runaway and Homeless Youth (RHY)	Yes
Head Start Program	Yes
Housing and service programs funded through Department of Justice (DOJ) resources	Yes
Housing and service programs funded through Health and Human Services (HHS) resources	Yes
Housing and service programs funded through other Federal resources	Yes
Housing and service programs funded through state government resources	Yes
Housing and service programs funded through local government resources	Yes
Housing and service programs funded through private entities, including foundations	Yes
Other:(limit 50 characters)	
Programs funded by faith-based organizations	Yes

**1C-2. Describe how the CoC actively consults with Emergency Solutions Grant (ESG) recipient's in the planning and allocation of ESG funds. Include in the response: (1) the interactions that occur between the CoC and the ESG Recipients in the planning and allocation of funds; (2) the CoCs participation in the local Consolidated Plan jurisdiction(s) process by providing Point-in-Time (PIT) and Housing Inventory Count (HIC) data to the Consolidated Plan jurisdictions; and (3) how the CoC ensures local homelessness information is clearly communicated and addressed in Consolidated Plan updates. (limit 1000 characters)**

All of the 5 CP entities engage with the CoC as follows:

- CPs are CoC board members
- CoC members contribute in annual CP online needs surveys

- CoC members are invited to participate in the annual CP Public Hearings
  - CoC gives PIT & HIC data, unmet needs report, & the CoC Application to the CPs
  - 3 CP staff serve on the CoC Project Review and Ranking Subcommittee
  - 2 are officers of the CoC Executive Committee
  - CPs participate in the bi-annual online CoC community survey.
- CPs notify housing and homeless providers about the availability of HOME and CDBG funds. The CoC engages CHDO agencies in an annual HOME subcommittee to plan long-range homeless and housing projects. Two CPs participate in bi-monthly Housing Solutions work group meetings (1 1/2 hours) to plan for future housing projects, landlord outreach, etc.

**1C-3. CoCs must demonstrate the local efforts to address the unique needs of persons, and their families, fleeing domestic violence that includes access to housing and services that prioritizes safety and confidentiality of program participants.  
(limit 1000 characters)**

When a client reaches out to a housing provider or 2-1-1, they begin with a standard quick assessment. If a family says they are victims of DV, they receive info about DV shelter and services. With consent, the caseworker calls the DV program and connects the client to DV staff. DV shelter case managers use a SPDAT assessment and work with the housing and RRH providers to offer housing options with consideration for safety and confidentiality to rapidly re-house the family. The assessments are initially inputted in a DV data system. The DV service providers offer shelter, housing, education, therapy, children's programs, and case management. They refer and assist with transportation to the Family Justice Center (legal assistance, prosecution efforts and law enforcement), Victim's Advocates, RRH, PHAs, UVISA assistance, etc. If needed, DV housing cases are brought to Coordinated Support Services and are discussed using assigned HMIS client IDs that are added to the by-name list.

**1C-3a. CoCs must describe the following: (1) how regular training is provided to CoC providers and operators of coordinated entry processes that addresses best practices in serving survivors of domestic violence; (2) how the CoC uses statistics and other available data about domestic violence, including aggregate data from comparable databases, as appropriate, to assess the scope of community needs related to domestic violence and homelessness; and (3) the CoC safety and planning protocols and how they are included in the coordinated assessment.  
(limit 1,000 characters)**

1) Our coordinated entry and assessment (CEA) process requires training in HMIS, the VI-SPDAT and SPDAT. During these trainings, case managers are made privy to VAWA regulations. Starting in November 2017, the CoC will offer annual CEA trainings that will cover specific DV client needs, such as clients not being required to divulge any personally identifying information to access services, the possible use of the Campbell Lethality Assessment to inform prioritization, and a unique pre-screen mechanism in UHMIS that creates VAWA appropriate client level data. 2) The CoC primarily relies on data

recorded in quarterly sheltered PIT counts to educate the community of the need and demand for DV shelter resources. All domestic violence shelters in our jurisdiction participate in the count. 3) Our coordinated entry and assessment policies and procedures address safety protocols that allow for specialized entry for DV victims and allows for a unique consent process to CEA.

**1C-4. Using the chart provided, for each of the Public Housing Agency's (PHA) in the CoC's geographic area: (1) identify the percentage of new admissions to the Public Housing or Housing Choice Voucher (HCV) Programs in the PHA's that were homeless at the time of admission; and (2) indicate whether the PHA has a homeless admission preference in its Public Housing and/or HCV program.**

**Attachment Required: If the CoC selected, "Yes-Public Housing", "Yes-HCV" or "Yes-Both", attach an excerpt from the PHA(s) written policies or a letter from the PHA(s) that addresses homeless preference.**

Public Housing Agency Name	% New Admissions into Public Housing and Housing Choice Voucher Program during FY 2016 who were homeless at entry	PHA has General or Limited Homeless Preference
Provo City Housing Authority	31.00%	Yes-Both
Housing Authority of Utah County	24.00%	Yes-Both

**If you select "Yes--Public Housing," "Yes--HCV," or "Yes--Both" for "PHA has general or limited homeless preference," you must attach documentation of the preference from the PHA in order to receive credit.**

**1C-4a. For each PHA where there is not a homeless admission preference in their written policies, identify the steps the CoC has taken to encourage the PHA to adopt such a policy. (limit 1000 characters)**

N/A

**1C-5. Describe the actions the CoC has taken to: (1) address the needs of Lesbian, Gay, Bisexual, Transgender (LGBT) individuals and their families experiencing homelessness, (2) conduct regular CoC-wide training with providers on how to effectively implement the Equal Access to Housing in HUD Programs Regardless of Sexual Orientation or Gender Identity, including Gender Identify Equal Access to Housing, Fina Rule; and (3) implementation of an anti-discrimination policy. (limit 1000 characters)**

1) In 2016, the CoC added a local LGBTQ youth resource center as a member and asked them to participate on the Education and Youth Subcommittee. 2)

Our housing authorities and other programs have antidiscrimination policies for LGBTQ+ clients on the agency level and have participated in Fair Housing training, which reviews Utah’s sexual orientation protected class. Our coordinated entry and assessment policies and procedures honor the Equal Access Final Ruling by asking agencies to react to clients in safe and culturally competent ways. Our PIT questions allow space for transgendered people to answer questions in accordance to their gender identity. Our CoC will begin annual trainings on how to effectively implement Equal Access to Housing in October 2017 in partnership with an LGBTQ rights center, Equality Utah. 3) On September 11, 2017, our CoC formally adopted an antidiscrimination policy that includes a grievance process for agencies who violate tenets of the Equal Access ruling.

**1C-6. Criminalization: Select the specific strategies implemented by the CoC to prevent the criminalization of homelessness in the CoC’s geographic area. Select all that apply.**

Engaged/educated local policymakers:	<input checked="" type="checkbox"/>
Engaged/educated law enforcement:	<input checked="" type="checkbox"/>
Engaged/educated local business leaders	<input checked="" type="checkbox"/>
Implemented communitywide plans:	<input type="checkbox"/>
No strategies have been implemented	<input type="checkbox"/>
Other:(limit 50 characters)	
	<input type="checkbox"/>
	<input type="checkbox"/>
	<input type="checkbox"/>

## 1D. Continuum of Care (CoC) Discharge Planning

### Instructions:

For guidance on completing this application, please reference the FY 2017 CoC Application Detailed Instructions and the FY 2017 CoC Program Competition NOFA. Please submit technical questions to the HUD Exchange Ask A Question.

**1D-1. Discharge Planning-State and Local: Select from the list provided, the systems of care the CoC coordinates with and assists in state and local discharge planning efforts to ensure those who are discharged from that system of care are not released directly to the streets, emergency shelters, or other homeless assistance programs. Check all that apply.**

Foster Care:	<input checked="" type="checkbox"/>
Health Care:	<input checked="" type="checkbox"/>
Mental Health Care:	<input checked="" type="checkbox"/>
Correctional Facilities:	<input type="checkbox"/>
None:	<input type="checkbox"/>

**1D-1a. If the applicant did not check all the boxes in 1D-1, provide: (1) an explanation of the reason(s) the CoC does not have a discharge policy in place for the system of care; and (2) provide the actions the CoC is taking or plans to take to coordinate with or assist the State and local discharge planning efforts to ensure persons are not discharged to the street, emergency shelters, or other homeless assistance programs. (limit 1000 characters)**

The CoC has a policy to ensure we partner with all four systems of care for safe relocation of persons after discharge. While there is a state prison discharge policy, the CoC does not have a binding policy for safe discharge from the local jails. The county jails' policy currently requires persons to have a housing solution if they are being released on parole. In practice, the Discharge Subcommittee works with the jail, a local faith-based group and non-profit organization to secure motel vouchers for persons discharged from the Utah County Jail who are not on parole and/or works with a local emergency shelter/transitional housing facility to directly house them. The subcommittee works with Utah County Substance Abuse and Wasatch Mental Health's Justice Reinvestment Initiative to ensure these persons enter the coordinated entry and assessment process. The CoC will engage with county governments to pursue and adopt a more formal discharge policy for local jails by September 1, 2018.

**1D-2. Discharge Planning: Select the system(s) of care within the CoC's geographic area the CoC actively coordinates with to ensure persons who have resided in any of the institutions listed below longer than 90 days are not discharged directly to the streets, emergency shelters, or other homeless assistance programs. Check all that apply.**

Foster Care:	<input checked="" type="checkbox"/>
Health Care:	<input checked="" type="checkbox"/>
Mental Health Care:	<input checked="" type="checkbox"/>
Correctional Facilities:	<input checked="" type="checkbox"/>
None:	<input type="checkbox"/>

## 1E. Continuum of Care (CoC) Project Review, Ranking, and Selection

### Instructions

For guidance on completing this application, please reference the FY 2017 CoC Application Detailed Instructions and the FY 2017 CoC Program Competition NOFA. Please submit technical questions to the HUD Exchange Ask A Question.

**1E-1. Using the drop-down menu, select the appropriate response(s) that demonstrate the process the CoC used to rank and select project applications in the FY 2017 CoC Program Competition which included (1) the use of objective criteria; (2) at least one factor related to achieving positive housing outcomes; and (3) included a specific method for evaluating projects submitted by victim service providers.**

**Attachment Required: Public posting of documentation that supports the process the CoC used to rank and select project application.**

Used Objective Criteria for Review, Rating, Ranking and Section	Yes
Included at least one factor related to achieving positive housing outcomes	Yes
Included a specific method for evaluating projects submitted by victim service providers	Yes

### 1E-2. Severity of Needs and Vulnerabilities

**CoCs must provide the extent the CoC considered the severity of needs and vulnerabilities experienced by program participants in their project ranking and selection process. Describe: (1) the specific vulnerabilities the CoC considered; and (2) how the CoC takes these vulnerabilities into account during the ranking and selection process. (See the CoC Application Detailed Instructions for examples of severity of needs and vulnerabilities.)  
 (limit 1000 characters)**

The Rank and Review Committee were given information about the CoC's priority to serve vulnerable populations in the approved Rank and Review Criteria for new and renewal projects. The criteria included built-in assessments to review each project's capacity to operate with low barriers. Capacity was assessed by program model, wrap-around service partnership, participation in coordinated entry, eligibility verification, and prioritization of subpopulations (chronic homeless persons, victims of domestic violence, youth, veterans, and homeless families with children). The committee prioritized projects that serve the chronically homeless (PSH), as well as projects that serve the greatest number of clients with disabilities, zero income, and high standardized assessment scores (SPDAT). High SPDAT scores are indicative of multiple areas of vulnerability and morbidity. In addition, a willingness to serve clients with high acuity scores was assessed through "housing first" model status.



**1E-3. Using the following checklist, select: (1) how the CoC made publicly available to potential project applicants an objective ranking and selection process that was used for all project (new and renewal) at least 2 days before the application submission deadline; and (2) all parts of the CoC Consolidated Application, the CoC Application attachments, Priority Listing that includes the reallocation forms and Project Listings that show all project applications submitted to the CoC were either accepted and ranked, or rejected and were made publicly available to project applicants, community members and key stakeholders.**

**Attachment Required: Documentation demonstrating the objective ranking and selections process and the final version of the completed CoC Consolidated Application, including the CoC Application with attachments, Priority Listing with reallocation forms and all project applications that were accepted and ranked, or rejected (new and renewal) was made publicly available. Attachments must clearly show the date the documents were publicly posted.**

Public Posting	
CoC or other Website	<input checked="" type="checkbox"/>
Email	<input checked="" type="checkbox"/>
Mail	<input type="checkbox"/>
Advertising in Local Newspaper(s)	<input type="checkbox"/>
Advertising on Radio or Television	<input type="checkbox"/>
Social Media (Twitter, Facebook, etc.)	<input type="checkbox"/>

**1E-4. Reallocation: Applicants must demonstrate the ability to reallocate lower performing projects to create new, higher performing projects. CoC's may choose from one of the following two options below to answer this question. You do not need to provide an answer for both.**

Option 1: The CoC actively encourages new and existing providers to apply for new projects through reallocation.

Attachment Required - Option 1: Documentation that shows the CoC actively encouraged new and existing providers to apply for new projects through reallocation.

Option 2: The CoC has cumulatively reallocated at least 20 percent of the CoC's ARD between FY 2013 and FY 2017 CoC Program Competitions.

No Attachment Required - HUD will calculate the cumulative amount based on the CoCs reallocation forms submitted with each fiscal years Priority Listing.

**Reallocation: Option 1**

**Attachment Required - provide documentation that shows the CoC actively encouraged new and existing providers to apply for new projects through reallocation.**

**1E-5. If the CoC rejected or reduced project application(s), enter the date the CoC and Collaborative Applicant notified project applicants their project application(s) were being rejected or reduced in writing outside of e-snaps.** 09/05/2017

**Attachment Required: Copies of the written notification to project applicant(s) that their project application(s) were rejected. Where a project application is being rejected or reduced, the CoC must indicate the reason(s) for the rejection or reduction.**

**1E-5a. Provide the date the CoC notified applicant(s) their application(s) were accepted and ranked on the Priority Listing, in writing, outside of e-snaps.** 09/05/2017

**Attachment Required: Copies of the written notification to project applicant(s) their project application(s) were accepted and ranked on the Priority listing.**

## Reallocation Supporting Documentation

**Attachment Required - provide documentation that shows the CoC actively encouraged new and existing providers to apply for new projects through reallocation.**

Document Type	Required?	Document Description	Date Attached
Reallocation Supporting Documentation	No	Reallocation outr...	09/22/2017

## Attachment Details

**Document Description:** Reallocation outreach

## **2A. Homeless Management Information System (HMIS) Implementation**

**Intructions:**

For guidance on completing this application, please reference the FY 2017 CoC Application Detailed Instructions and the FY 2017 CoC Program Competition NOFA. Please submit technical questions to the HUD Exchange Ask A Question.

**2A-1. Does the CoC have in place a Governance Charter or other written documentation (e.g., MOU/MOA) that outlines the roles and responsibilities of the CoC and HMIS Lead?** Yes

**Attachment Required:** If “Yes” is selected, a copy of the sections of the Governance Charter, or MOU/MOA addressing the roles and responsibilities of the CoC and HMIS Lead.

**2A-1a. Provide the page number(s) where the roles and responsibilities of the CoC and HMIS Lead can be found in the attached document(s) referenced in 2A-1. In addition, indicate if the page number applies to the Governance Charter or MOU/MOA.** Pages 3-5 of the MOU

**2A-2. Does the CoC have a HMIS Policies and Procedures Manual? Attachment Required: If the response was “Yes”, attach a copy of the HMIS Policies and Procedures Manual.** Yes

**2A-3. What is the name of the HMIS software vendor?** Eccovia Solutions

**2A-4. Using the drop-down boxes, select the HMIS implementation Coverage area.** Statewide HMIS (multiple CoC)

**2A-5. Per the 2017 HIC use the following chart to indicate the number of beds in the 2017 HIC and in HMIS for each project type within the CoC. If a particular project type does not exist in the CoC then enter "0" for all cells**

**in that project type.**

Project Type	Total Beds in 2017 HIC	Total Beds in HIC Dedicated for DV	Total Beds in HMIS	HMIS Bed Coverage Rate
Emergency Shelter (ESG) beds	97	36	61	100.00%
Safe Haven (SH) beds	0	0	0	
Transitional Housing (TH) beds	60	23	37	100.00%
Rapid Re-Housing (RRH) beds	81	0	81	100.00%
Permanent Supportive Housing (PSH) beds	200	6	194	100.00%
Other Permanent Housing (OPH) beds	2	0	2	100.00%

**2A-5a. To receive partial credit, if the bed coverage rate is below 85 percent for any of the project types, the CoC must provide clear steps on how it intends to increase this percentage for each project type over the next 12 months.**

**(limit 1000 characters)**

All of our non-DV beds are covered through HMIS. However, our CoC was instructed by HUD Exchange (Ask-A-Question) to use this space to identify a data error in section 3B-1 that was discovered in the HIC. Two of our agencies did not report a total of 14 beds that were dedicated to the chronically homeless in the 2017 HIC. These beds were reflected in the PSH bed total, but not in the dedicated chronic beds subsection. Therefore, the number that should be reflected in 3B-1 should be 91, and 68 respectively. The overall decrease in chronic beds stemmed from programs that were closing or changing due to inefficiency or staff shortages. However, our CoC is requesting additional chronic beds from high performing programs through this application.

**2A-6. Annual Housing Assessment Report (AHAR) Submission: How many Annual Housing Assessment Report (AHAR) tables were accepted and used in the 2016 AHAR?** 12

**2A-7. Enter the date the CoC submitted the 2017 Housing Inventory Count (HIC) data into the Homelessness Data Exchange (HDX). (mm/dd/yyyy)** 04/26/2017

## 2B. Continuum of Care (CoC) Point-in-Time Count

### Instructions:

For guidance on completing this application, please reference the FY 2017 CoC Application Detailed Instructions and the FY 2017 CoC Program Competition NOFA. Please submit technical questions to the HUD Exchange Ask A Question.

**2B-1. Indicate the date of the CoC's 2017 PIT count (mm/dd/yyyy). If the PIT count was conducted outside the last 10 days of January 2017, HUD will verify the CoC received a HUD-approved exception.** 01/25/2017

**2B-2. Enter the date the CoC submitted the PIT count data in HDX. (mm/dd/yyyy)** 04/26/2017

## 2C. Continuum of Care (CoC) Point-in-Time (PIT) Count: Methodologies

**Instructions:**

For guidance on completing this application, please reference the FY 2017 CoC Application Detailed Instructions and the FY 2017 CoC Program Competition NOFA. Please submit technical questions to the HUD Exchange Ask A Question.

**2C-1. Describe any change in the CoC’s sheltered PIT count implementation, including methodology and data quality changes from 2016 to 2017. Specifically, how those changes impacted the CoCs sheltered PIT count results. (limit 1000 characters)**

One rapid-rehousing project was added to the 2017 Count and one permanent supportive housing project closed. The RRH project supplied nine extra beds and the permanent supportive housing project that was closed had 12 beds, however, this program was partially absorbed into another program, which made the decrease in beds only by 8. Even with the added RRH project, there was a decrease in this count from 2016-2017 (although all beds were at 100% utilization). The PSH count was not influenced by the closed project, since there was a substantial increase in PSH beds provided by another project.

**2C-2. Did your CoC change its provider coverage in the 2017 sheltered count?** No

**2C-2a. If “Yes” was selected in 2C-2, enter the change in provider coverage in the 2017 sheltered PIT count, including the number of beds added or removed due to the change.**

Beds Added:	0
Beds Removed:	0
Total:	0

**2C-3. Did your CoC add or remove emergency shelter, transitional housing, or Safe-Haven inventory because of funding specific to a Presidentially declared disaster resulting in a change to the CoC's 2017 sheltered PIT count?** No

**2C-3a. If "Yes" was selected in 2C-3, enter the number of beds that were added or removed in 2017 because of a Presidentially declared disaster.**

Beds Added:	0
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Beds Removed:	0
Total:	0

**2C-4. Did the CoC change its unsheltered PIT count implementation, including methodology and data quality changes from 2016 to 2017?** Yes

**CoCs that did not conduct an unsheltered count in 2016 or did not report unsheltered PIT count data to HUD in 2016 should compare their efforts in 2017 to their efforts in 2015.**

**2C-4a. Describe any change in the CoC’s unsheltered PIT count implementation, including methodology and data quality changes from 2016 to 2017. Specify how those changes impacted the CoC’s unsheltered PIT count results. See Detailed Instructions for more information. (limit 1000 characters)**

For the 2017 PIT count the CoC added a targeted youth outreach component. We consulted with local school district homeless liaisons about where to survey. We worked with the State Division of Child and Family Services to complete PIT count surveys for homeless youth encountered during the day. While several homeless youth were located and surveyed, they were homeless according to McKinney-Vento standards. These changes to the methodology did not result in any significant changes in the PIT count results as none were found through this process to be literally homeless. We will build upon this experience for the 2018 PIT.

**2C-5. Did the CoC implement specific measures to identify youth in their PIT count?** Yes

**2C-5a. If "Yes" was selected in 2C-5, describe the specific measures the CoC; (1) took to identify homeless youth in the PIT count; (2) during the planning process, how stakeholders that serve homeless youth were engaged; (3) how homeless youth were engaged/involved; and (4) how the CoC worked with stakeholders to select locations where homeless youth are most likely to be identified. (limit 1000 characters)**

Members of the PIT committee consulted with the education/youth homelessness committee and local homeless liaisons for school districts on locations to survey in order to count all homeless youth. Their answers were considered when creating outreach maps highlighting locations to survey. The committee also worked with Department of Child and Family Services to complete PIT count surveys for homeless youth encountered during the day.

**2C-6. Describe any actions the CoC implemented in its 2017 PIT count to better count individuals and families experiencing chronic homelessness,**

**families with children, and Veterans experiencing homelessness.  
(limit 1000 characters)**

Several persons who formerly experienced homelessness participated in the PIT count in 2017. They were able to utilize their knowledge of locations where persons experiencing homelessness may be staying and helped the PIT committee prepare maps highlighting locations to survey. 130 volunteers participated in the PIT count over three days, ensuring adequate coverage of areas to be surveyed. Members of the Veteran's Community Council were invited to participate in the PIT count and to provide ideas of locations to survey specific to veterans. RRH program service providers gave input on potential locations to find homeless families with children. The Wasatch Mental Health street outreach team identified locations as well. Businesses and community members were encouraged to call the outreach team if they observed someone suspected of experiencing homelessness so they could be connected to resources.

## **3A. Continuum of Care (CoC) System Performance**

### **Instructions**

For guidance on completing this application, please reference the FY 2017 CoC Application Detailed Instructions and the FY 2017 CoC Program Competition NOFA. Please submit technical questions to the HUD Exchange Ask A Question.

**3A-1. Performance Measure: Reduction in the Number of First-Time Homeless. Describe: (1) the numerical change the CoC experienced; (2) the process the CoC used to identify risk factors of becoming homeless for the first time; (3) the strategies in place to address individuals and families at risk of becoming homeless; and (4) the organization or position that is responsible for overseeing the CoC's strategy to reduce or end the number of individuals and families experiencing homelessness for the first time.  
(limit 1000 characters)**

1) The total reduction was 111 clients from all ES, TH, and PH projects. 2) The CoC engages with 2-1-1 and partners to reach precariously housed families. Risk factors are addressed to CoC planners by providers who engage in shelter services: victimization, rental history, landlord relationships, prior homelessness, habitability of housing, language/cultural barriers, lease violations, inability to pay rent, illegal evictions, discrimination, substance abuse, mental illness, institutional history, no support network, aging out of foster care, jail discharge. 3) Services to mitigate risk factors: diversion assessment; tenant rights & responsibilities training; landlord mediation; homeless prevention rent help; outreach through social services, churches, hospitals, schools, employers; outreach to landlords about resources; disability services; employment and income services; and use of a landlord toolkit and flex fund. 4) United Way employs staff to facilitate all strategic planning.

**3A-2. Performance Measure: Length-of-Time Homeless. CoC 's must demonstrate how they reduce the length-of-time for individuals and families remaining homeless. Describe (1) the numerical change the CoC experienced; (2) the actions the CoC has implemented to reduce the length-of-time individuals and families remain homeless; (3) how the CoC identifies and houses individuals and families with the longest length-of-time homeless; and (4) identify the organization or position that is responsible for overseeing the CoC's strategy to reduce the length-of-time individuals and families remain homeless.  
(limit 1000 characters)**

1) The LOT decrease in ES shelter was only one night, and a total reduction for ES and TH was two days. 2) Our CoC has committed to a no wrong door approach for CEA for years, and it will be fully implemented in all HMIS agencies on November 1, 2017. Our CEA process extends to both CoC and non-CoC funded agencies that unite biweekly to case conference the hardest to

house clients in our Coordinated Support Services Subcommittee. 3) The by-name list is sorted and discussed by the highest SPDAT scores and chronic status, and typically this captures the longest stayers in the system. Clients typically receive vouchers within 7 days of assessment. The issue for clients is leasing an FMR, 12-month contract. The 2015 Utah County renter vacancy rate was 2.97% and 3.4% in 2016. The lack of change denotes a significant effort on part of our programs to help maintain our length of time homelessness despite the housing market. 4) United Way of Utah County staff facilitate this process.

**3A-3. Performance Measures: Successful Permanent Housing Placement and Retention**

**Describe: (1) the numerical change the CoC experienced; (2) the CoCs strategy to increase the rate of which individuals and families move to permanent housing destination or retain permanent housing; and (3) the organization or position responsible for overseeing the CoC’s strategy for retention of, or placement in permanent housing. (limit 1000 characters)**

1) Our street outreach enrollments (46) did not indicate placements into permanent housing, with a decrease in one client placement from 2015 to 2016. This was due to incomplete data from exit enrollment interviews, since many of these clients transferred to other programs before an exit interview was completed. This will be remedied next year. There was a 10% increase in retention for ES, TH, and PH-RRH clients. Change in retention went down 2% for PH (from 83% to 81%). 2) Our PSH programs partner with the largest mental health organizations in the local area to provide wrap around services to clients who have obtained permanent housing. Services include regular home visits, psychotherapy, day treatment, medication management, psychiatric services, healthcare services, provisions for food and clothing, case management, employment counseling, and life-skills courses. 3) Wasatch Mental Health, Utah County Substance Abuse, and Golden Spike Outreach spearhead these wrap-around services.

**3A-4. Performance Measure: Returns to Homelessness.**

**Describe: (1) the numerical change the CoC experienced, (2) what strategies the CoC implemented to identify individuals and families who return to homelessness, (3) the strategies the CoC will use to reduce additional returns to homelessness, and (4) the organization or position responsible for overseeing the CoC’s efforts to reduce the rate of individuals and families’ returns to homelessness. (limit 1000 characters)**

1) In 2016, returns to homelessness increased from 14% to 17%. ES enrollees decreased from 65% to 25%, TH clients increased by 9% and PH clients increased by 4%. Our totals indicate returns by eight additional clients, who likely returned due to violation of contract. 2) Our strategy to identify and case manage returned clients involves CEA and biweekly coordinated support services meetings, where persons are assigned to familiar street outreach and case management staff for contact. 3) Our CoC commits to continue case conferencing and utilizing our private flex fund to mitigate financial reasons for pending eviction, to provide diversion services and/or shelter space for

individuals recently evicted, and to continue training case managers on consistent follow-up, as well as incentivize tenant education to clients. 4) Wasatch Mental Health leads street outreach and wrap-around services, United Way oversees the flex fund, and Community Action leads diversion and tenant education.

**3A-5. Performance Measures: Job and Income Growth**

**Describe: (1) the strategies that have been implemented to increase access to employment and mainstream benefits; (2) how the CoC program-funded projects have been assisted to implement the strategies; (3) how the CoC is working with mainstream employment organizations to help individuals and families increase their cash income; and (4) the organization or position that is responsible for overseeing the CoC’s strategy to increase job and income growth from employment, non-employment including mainstream benefits. (limit 1000 characters)**

1) The CoC partners with agencies and programs such as Utah Defendant/Offender Workplace Development Program, Job Corps, People Helping People, and Department of Workforce Services to help clients access employment opportunities and mainstream services. 2) In monitoring visits, CoC staff encourage agencies to have case managers SOAR trained, to partner more directly with these employment or staffing agencies to meet their earned income and total income performance goals. The CoC also sends announcements about job fairs to all Continuum members and encourages them to advertise. 3) The CoC provides bi-annual training on mainstream benefit opportunities for Continuum member agencies, particularly for any new case management staff; 4) United Way of Utah County staff provide monitoring and advertising, Community Action provides Bridges out of Poverty training, and DWS provides mainstream services.

**3A-6. Did the CoC completely exclude a geographic area from the most recent PIT count (i.e. no one counted there, and for communities using samples in the area that was excluded from both the sample and extrapolation) where the CoC determined there were no unsheltered homeless people, including areas that are uninhabitable (deserts, forests).** Yes

**3A.6a. If the response to 3A-6 was “Yes”, what was the criteria and decision-making process the CoC used to identify and exclude specific geographic areas from the CoCs unsheltered PIT count? (limit 1000 characters)**

The Ad Hoc PIT Subcommittee is committed to making the most effective use of staff, volunteers, and other resources in the unsheltered count. Members of this committee include program street outreach teams and at least one formerly homeless individual. These committee members help evaluate our mapping for the unsheltered homeless during and outside of PIT. This team

frequents areas of high traffic unsheltered homeless 5 days a week, and also conduct “in-reach” in a walk-in soup kitchen/service center five days a week. They also coordinate with local law enforcement to track individuals that are identified on weekends. All of these unsheltered individuals are eventually introduced to the coordinated entry and assessment process either by street outreach or by agency visits. Our CoC has a “no wrong door” policy for these individuals. Once they enter in CE, they are assisted with paperwork processes and are introduced to housing vacancy lists in order to find permanent housing.

**3A-7. Enter the date the CoC submitted the System Performance Measures data in HDX, which included the data quality section for FY 2016.** 06/05/2017  
**(mm/dd/yyyy)**

## 3B. Continuum of Care (CoC) Performance and Strategic Planning Objectives

### Instructions

For guidance on completing this application, please reference the FY 2017 CoC Application Detailed Instructions and the FY 2017 CoC Program Competition NOFA. Please submit technical questions to the HUD Exchange Ask A Question.

### 3B-1. Compare the total number of PSH beds, CoC program and non CoC-program funded, that were identified as dedicated for yes by chronically homeless persons in the 2017 HIC, as compared to those identified in the 2016 HIC.

	2016	2017	Difference
Number of CoC Program and non-CoC Program funded PSH beds dedicated for use by chronically homelessness persons identified on the HIC.	91	54	-37

**3B-1.1. In the box below: (1) "total number of Dedicated PLUS Beds" provide the total number of beds in the Project Allocation(s) that are designated ad Dedicated PLUS beds; and (2) in the box below "total number of beds dedicated to the chronically homeless:, provide the total number of beds in the Project Application(s) that are designated for the chronically homeless. This does not include those that were identified in (1) above as Dedicated PLUS Beds.**

Total number of beds dedicated as Dedicated Plus	0
Total number of beds dedicated to individuals and families experiencing chronic homelessness	60
<b>Total</b>	<b>60</b>

**3B-1.2. Did the CoC adopt the Orders of Priority into their standards for all CoC Program funded PSH projects as described in Notice CPD-16-11: Prioritizing Persons Experiencing Chronic Homelessness and Other Vulnerable Homeless Persons in Permanent Supportive Housing.** Yes

**3B-2.1. Using the following chart, check each box to indicate the factor(s) the CoC currently uses to prioritize households with children based on need during the FY 2017 Fiscal Year.**

History of or Vulnerability to Victimization	<input checked="" type="checkbox"/>
Number of previous homeless episodes	<input checked="" type="checkbox"/>

Unsheltered homelessness	<input checked="" type="checkbox"/>
Criminal History	<input type="checkbox"/>
Bad credit or rental history (including not having been a leaseholder)	<input type="checkbox"/>
Head of Household with Mental/Physical Disability	<input checked="" type="checkbox"/>

**3B-2.2. Describe: (1) the CoCs current strategy and timeframe for rapidly rehousing every household of families with children within 30 days of becoming homeless; and (2) the organization or position responsible for overseeing the CoC’s strategy to rapidly rehouse families with children within 30 days of becoming homeless. (limit 1000 characters)**

1) Community Action Services and Food Bank (CAP) and two DV shelters cooperate to re-house homeless families within 30 days. Families who enter the DV shelter or CAP shelter program are assessed for coordinated entry in the first interview. Housing search begins in 1-7 days with a placement goal of 2-3 weeks. The CoC maintains a list of vacant housing and attempts to recruit landlords to accept high-risk families. The CoC flex fund is used for landlord concerns (pay a double deposit). CAP helps with housing search and landlord negotiation. CH families have priority for PSH units. Families with more risk factors have a higher priority for RRH funding. CAP uses CoC RRH, TANF and EFSP funds for RRH. CAP went from \$77,000 RRH funds in 2014 to \$465,000 TANF RRH over 3 years starting in 2015. In 2016, CAP started CoC RRH project in the amount of \$75,000, and in 2017 it launched two RRH Youth projects. 2) CAP leads strategic planning and providing RRH.

**3B-2.3. Compare the number of RRH units available to serve families from the 2016 and 2017 HIC.**

	2016	2017	Difference
Number of CoC Program and non-CoC Program funded PSH units dedicated for use by chronically homelessness persons identified on the HIC.	25	22	-3

**3B-2.4. Describe the actions the CoC is taking to ensure emergency shelters, transitional housing, and permanent supportive housing (PSH and RRH) providers within the CoC adhere to anti-discrimination policies by not denying admission to, or separating any family members from other members of their family or caregivers based on age, sex, gender, LGBT status, marital status or disability when entering a shelter or Housing. (limit 1000 characters)**

In 2017, the CoC adopted a policy to re-affirm the CoC's commitment to Equal Housing which included a grievance policy for reports of denial of services based on sexual orientation or gender identity. Our CEA policies and procedures and CoC policies and procedures include a general grievance policy where clients may file a complaint to CoC staff if they are faced with separation



from family or denial of services. If this complaint indicates discriminatory practice, staff will notify the agency's executive director within three business days. The agency is required to make restitution with the client and/or supply a report to the CoC within 10 business days to explain the issue. If the agency has engaged in discriminatory practices, they will be reported to the Fair Housing Antidiscrimination and Labor Division. All agencies are encouraged to attend Fair Housing trainings annually, which reviews protected classes, and to formalize and implement anti-discrimination policies.

**3B-2.5. From the list below, select each of the following the CoC has strategies to address the unique needs of unaccompanied homeless youth.**

Human trafficking and other forms of exploitation?	Yes
LGBT youth homelessness?	Yes
Exits from foster care into homelessness?	Yes
Family reunification and community engagement?	Yes
Positive Youth Development, Trauma Informed Care, and the use of Risk and Protective Factors in assessing youth housing and service needs?	Yes

**3B-2.6. From the list below, select each of the following the CoC has a strategy for prioritization of unaccompanied youth based on need.**

History or Vulnerability to Victimization (e.g., domestic violence, sexual assault, childhood abuse)	<input checked="" type="checkbox"/>
Number of Previous Homeless Episodes	<input checked="" type="checkbox"/>
Unsheltered Homelessness	<input checked="" type="checkbox"/>
Criminal History	<input checked="" type="checkbox"/>
Bad Credit or Rental History	<input checked="" type="checkbox"/>

**3B-2.7. Describe: (1) the strategies used by the CoC, including securing additional funding to increase the availability of housing and services for youth experiencing homelessness, especially those experiencing unsheltered homelessness; (2) provide evidence the strategies that have been implemented are effective at ending youth homelessness; (3) the measure(s) the CoC is using to calculate the effectiveness of the strategies; and (4) why the CoC believes the measure(s) used is an appropriate way to determine the effectiveness of the CoC's efforts. (limit 1500 characters)**

1) Our CoC jurisdiction includes a shelter for unaccompanied youth, which pursues new RHY NOFA's as they are announced. Currently, this program is only maintaining their existing grant. However, two new Youth RRH projects began in June 2017 (totaling \$70,878) to assist 16 youth clients with finding permanent housing. 2) Our CoC coordinates with Department of Child and Family Services (DCFS) with its program focus on youth transitioning out of

foster care, particularly in order to help them enter coordinated entry. DCFS is involved in HMIS, and our Coordinated Support Services (CSS) Committee highlights youth as a special subpopulation in the case conferencing process. 3) Our CSS Committee tracks monthly placements for veterans and chronic clients, and starting in October 2017 will monitor a monthly placement goal for youth. 4) A monthly placement goal will help the CoC target the placement of youth as a special subpopulation rather than solely relying on SPDAT scores as the prioritization method on the by-name list.

**3B-2.8. Describe: (1) How the CoC collaborates with youth education providers, including McKinney-Vento local educational authorities and school districts; (2) the formal partnerships the CoC has with these entities; and (3) the policies and procedures, if any, that have been adopted to inform individuals and families who become homeless of their eligibility for educational services. (limit 1000 characters)**

1) Youth education providers are members of the CoC's Education Subcommittee. Committee members also include an LGBTQ resource center, Community Action, DCFS, the unaccompanied youth shelter, Head Start, DV shelter, Job Corps, and CoC staff. This subcommittee meets quarterly to share resources, referrals, and strategically plan. Members are provided with housing referral cards and brochures. Schools collaborate with the DV shelter to ensure transportation to educational services is provided. This committee was consulted regarding PIT count methodology. 2) Member agencies of the Mountainland CoC, Mountainland Head Start, and United Way's Help Me Grow program have entered into a formal Memorandum Of Understanding (MOU). 3) School districts have a formal policy to post McKinney-Vento Homeless Assistance Act information for parents on their websites and in each school's front office. Registration forms ask questions relating to housing status.

**3B-2.9. Does the CoC have any written formal agreements, MOU/MOAs or partnerships with one or more providers of early childhood services and supports? Select "Yes" or "No".**

	MOU/MOA	Other Formal Agreement
Early Childhood Providers	Yes	No
Head Start	Yes	No
Early Head Start	No	No
Child Care and Development Fund	No	No
Federal Home Visiting Program	No	No
Healthy Start	No	No
Public Pre-K	No	Yes
Birth to 3	Yes	No
Tribal Home Visiting Program	No	No
Other: (limit 50 characters)		
McKinney Vento Liasons	No	Yes

**3B-3.1. Provide the actions the CoC has taken to identify, assess, and refer homeless Veterans who are eligible for Veterans Affairs services and housing to appropriate resources such as HUD-VASH and Supportive Services for Veterans Families (SSVF) program and Grant and Per Diem (GPD).  
(limit 1000 characters)**

All Continuum case managers participate in CEA and conduct standardized assessment with clients. As part of this process, veteran status is assessed. Those who self declare veteran status are looked up in the HMIS Repository and the Veteran Status Query and Response Exchange System (SQUARES). If they don't have the necessary paperwork in place, case managers complete a VA ROI, or begin the DD-214 process with the client. Homeless Veterans Fellowship (who provide SSVF benefits) and VA reps meet with clients bi-weekly at a local food and shelter walk-in center. HVF, VA, and DWS Veteran Reps meet bi-weekly with the Coordinated Support Services Subcommittee to case conference any veterans on the By-Name-List. Veterans are also referred to the CoC through the Utah County Vet Center and the American Legion. Street outreach is conducted weekdays in Utah County to identify, assess, and refer all persons experiencing homelessness including veterans.

**3B-3.2. Does the CoC use an active list or by name list to identify all Veterans experiencing homelessness in the CoC?** Yes

**3B-3.3. Is the CoC actively working with the VA and VA-funded programs to achieve the benchmarks and criteria for ending Veteran homelessness?** Yes

**3B-3.4. Does the CoC have sufficient resources to ensure each Veteran is assisted to quickly move into permanent housing using a Housing First approach?** Yes

## 4A. Continuum of Care (CoC) Accessing Mainstream Benefits and Additional Policies

**Instructions:**

For guidance on completing this application, please reference the FY 2017 CoC Application Detailed Instructions and the FY 2017 CoC Program Competition NOFA. Please submit technical questions to the HUD Exchange Ask A Question.

**4A-1. Select from the drop-down (1) each type of healthcare organization the CoC assists program participants with enrolling in health insurance, and (2) if the CoC provides assistance with the effective utilization of Medicaid and other benefits.**

Type of Health Care	Yes/No	Assist with Utilization of Benefits?
Public Health Care Benefits (State or Federal benefits, e.g. Medicaid, Indian Health Services)	Yes	Yes
Private Insurers:	Yes	Yes
Non-Profit, Philanthropic:	Yes	Yes
Other: (limit 50 characters)		

**4A-1a. Mainstream Benefits**

**CoC program funded projects must be able to demonstrate they supplement CoC Program funds from other public and private resources, including: (1) how the CoC works with mainstream programs that assist homeless program participants in applying for and receiving mainstream benefits; (2) how the CoC systematically keeps program staff up-to-date regarding mainstream resources available for homeless program participants (e.g. Food Stamps, SSI, TANF, substance abuse programs); and (3) identify the organization or position that is responsible for overseeing the CoCs strategy for mainstream benefits. (limit 1000 characters)**

1) The CoC coordinates with Department of Workforce Services, (DWS) which provides an employment counselor who specifically works with homeless individuals and families. DWS also has an employment counselor who works with families who receive TANF RRH and veterans. DWS provides: working with persons on an employment plan, intensive employment preparation, job seeking skills, and job search. DWS provides incentives (\$2,000 tax credit for hiring) for employers who employ persons with a variety of barriers including homelessness. DWS assists with other training funding- GED, adult high school, short-term training, apprenticeships, etc. DWS provides updates of their employment services in CoC meetings, and a DWS worker participates in the CSS Subcommittee. 2) The CoC coordinates an annual training with DWS about mainstream benefits for all members and agencies. 3) United Way of

Utah County and CAP organize these trainings.

**4A-2. Low Barrier: Based on the CoCs FY 2017 new and renewal project applications, what percentage of Permanent Housing (PSH) and Rapid Rehousing (RRH), Transitional Housing (TH), Safe-Haven, and SSO (Supportive Services Only-non-coordinated entry) projects in the CoC are low-barrier?**

Total number of PH (PSH and RRH), TH, Safe-Haven and non-Coordinated Entry SSO project applications in the FY 2017 competition (new and renewal)	12.00
Total number of PH (PSH and RRH), TH, Safe-Haven and non-Coordinated Entry SSO renewal and new project applications that selected "low barrier" in the FY 2017 competition.	12.00
Percentage of PH (PSH and RRH), TH, Safe-Haven and non-Coordinated Entry SSO renewal and new project applications in the FY 2017 competition that will be designated as "low barrier"	100.00%

**4A-3. Housing First: What percentage of CoC Program Funded PSH, RRH, SSO (non-coordinated entry), safe-haven and Transitional Housing; FY 2017 projects have adopted the Housing First approach, meaning that the project quickly houses clients without preconditions or service participation requirements?**

Total number of PSH, RRH, non-Coordinated Entry SSO, Safe Haven and TH project applications in the FY 2017 competition (new and renewal).	12.00
Total number of PSH, RRH, non-Coordinated Entry SSO, Safe Haven and TH renewal and new project applications that selected Housing First in the FY 2017 competition.	9.00
Percentage of PSH, RRH, non-Coordinated Entry SSO, Safe Haven and TH renewal and new project applications in the FY 2017 competition that will be designated as Housing First.	75.00%

**4A-4. Street Outreach: Describe (1) the CoC's outreach and if it covers 100 percent of the CoC's geographic area; (2) how often street outreach is conducted; and (3) how the CoC has tailored its street outreach to those that are least likely to request assistance. (limit 1000 characters)**

1) Our outreach covers about 75% of our geographic area in terms of population. 2) We offer 5-day-a-week street outreach, led by mental health workers trained in trauma-informed care to help the unsheltered homeless gain access to CEA. Members of the street outreach teams include at least one formerly homeless individual. This committee member helps evaluate our mapping for the unsheltered homeless during and outside of PIT. This team frequents areas of high traffic unsheltered homeless 5 days a week, and conduct "in-reach" in a walk-in soup kitchen/service center 5 days a week. They also coordinate with local law enforcement to track individuals that are identified on weekends. 3) The "in-reach" process allows the team to reach persons who do not typically expose themselves through panhandling or camping. Further, it was discovered that veterans have hesitance with CEA, so we coordinate with the local Vet Center and a VA case manager to conduct outreach with veterans biweekly.

**4A-5. Affirmative Outreach  
 Specific strategies the CoC has implemented that furthers fair housing as detailed in 24 CFR 578.93(c) used to market housing and supportive**

**services to eligible persons regardless of race, color, national origin, religion, sex, gender identify, sexual orientation, age, familial status, or disability; who are least likely to apply in the absence of special outreach.**

**Describe: (1) the specific strategies that have been implemented that affirmatively further fair housing as detailed in 24 CFR 578.93(c); and (2) what measures have been taken to provide effective communication to persons with disabilities and those with limited English proficiency. (limit 1000 characters)**

1) Our basic strategy to affirm our commitment to Fair Housing involves annual trainings for program managers and case managers from public and private agencies, who are encouraged to develop and implement policies and procedures that protect clients from discrimination. Clients are also given briefings on their housing rights and how to file complaints with Fair Housing. 2) Our housing authorities and most of our private agencies employ at least one staff member with bilingual proficiency (typically, Spanish) in order to help clients who are not proficient in English. Our CoC also partners with a non-profit organization that specializes in assisting families with heads of household or children with disabilities and informs them of housing programs and housing opportunities. Interpretation is also available for the deaf. By January 2018, our CoC will reprint and redistribute 2-1-1 outreach cards with basic housing information that will be printed in both English and Spanish.

**4A-6. Compare the number of RRH beds available to serve populations from the 2016 and 2017 HIC.**

	2016	2017	Difference
RRH beds available to serve all populations in the HIC	103	81	-22

**4A-7. Are new proposed project applications requesting \$200,000 or more in funding for housing rehabilitation or new construction?** No

**4A-8. Is the CoC requesting to designate one or more SSO or TH projects to serve homeless households with children and youth defined as homeless under other Federal statues who are unstably housed (paragraph 3 of the definition of homeless found at 24 CFR 578.3).** No

## 4B. Attachments

**Instructions:**

Multiple files may be attached as a single .zip file. For instructions on how to use .zip files, a reference document is available on the e-snaps training site:  
<https://www.hudexchange.info/resource/3118/creating-a-zip-file-and-capturing-a-screenshot-resource>

Document Type	Required?	Document Description	Date Attached
01. 2016 CoC Consolidated Application: Evidence of the CoC's communication to rejected participants	Yes	Reduction and wit...	09/22/2017
02. 2016 CoC Consolidated Application: Public Posting Evidence	Yes	2017 NOFA Consoli...	09/13/2017
03. CoC Rating and Review Procedure (e.g. RFP)	Yes	Rank and Review D...	09/23/2017
04. CoC's Rating and Review Procedure: Public Posting Evidence	Yes	Public Posting Ev...	09/14/2017
05. CoCs Process for Reallocating	Yes	Rank and Review P...	09/15/2017
06. CoC's Governance Charter	Yes	2017 Goverance Ch...	09/15/2017
07. HMIS Policy and Procedures Manual	Yes	Utah HMIS Standar...	09/13/2017
08. Applicable Sections of Con Plan to Serving Persons Defined as Homeless Under Other Fed Statutes	No		
09. PHA Administration Plan (Applicable Section(s) Only)	Yes	PHA Administrativ...	09/22/2017
10. CoC-HMIS MOU (if referenced in the CoC's Governance Charter)	No	Utah HMIS CoC MO...	09/13/2017
11. CoC Written Standards for Order of Priority	No	CoC Order of Prio...	09/22/2017
12. Project List to Serve Persons Defined as Homeless under Other Federal Statutes (if applicable)	No		
13. HDX-system Performance Measures	Yes	UT504 Sys Perf Me...	09/23/2017
14. Other	No		
15. Other	No		

## **Attachment Details**

**Document Description:** Reduction and withdrawal information-CWCIC

## **Attachment Details**

**Document Description:** 2017 NOFA Consolidated Application Proof of Public Posting

## **Attachment Details**

**Document Description:** Rank and Review Documents

## **Attachment Details**

**Document Description:** Public Posting Evidence of R&R P&P and Criteria

## **Attachment Details**

**Document Description:** Rank and Review Policies and Procedures

## **Attachment Details**



**Document Description:** 2017 Governance Charter

## **Attachment Details**

**Document Description:** Utah HMIS Standard Operating Procedures 2017

## **Attachment Details**

**Document Description:**

## **Attachment Details**

**Document Description:** PHA Administrative Plans

## **Attachment Details**

**Document Description:** Utah HMIS CoC MOU 2017

## **Attachment Details**

**Document Description:** CoC Order of Priority documentation

## **Attachment Details**

**Document Description:**

## **Attachment Details**

**Document Description:** UT504 Sys Perf Measure Report

## **Attachment Details**

**Document Description:**

## **Attachment Details**

**Document Description:**

## Submission Summary

**Ensure that the Project Priority List is complete prior to submitting.**

Page	Last Updated
<b>1A. Identification</b>	08/28/2017
<b>1B. Engagement</b>	09/22/2017
<b>1C. Coordination</b>	09/22/2017
<b>1D. Discharge Planning</b>	09/14/2017
<b>1E. Project Review</b>	09/22/2017
<b>1F. Reallocation Supporting Documentation</b>	09/22/2017
<b>2A. HMIS Implementation</b>	09/22/2017
<b>2B. PIT Count</b>	09/22/2017
<b>2C. Sheltered Data - Methods</b>	09/22/2017
<b>3A. System Performance</b>	09/22/2017
<b>3B. Performance and Strategic Planning</b>	09/22/2017

<b>4A. Mainstream Benefits and Additional Policies</b>	09/22/2017
<b>4B. Attachments</b>	09/23/2017
<b>Submission Summary</b>	No Input Required



# Mountainland Continuum of Care Policies and Procedures

This document outlines key operational components of the Continuum of Care, including policies and procedures for the CoC and acts as the Mountainland CoC Governance Charter

# Policy Version Updates

<b>Date of Update</b>	<b>Date Originally Approved</b>	<b>Changes Made</b>
Annually prior to NOFA submission		Project Review Criteria
	December 2009	Code of Ethics
April 2017	May 2011	CoC Priorities
January 2014	December 2012	Grievance/Appeal Policy
January 2014	January 2013	Education Assurance Policy
	January 2014	Initial draft of CoC Policies and Procedures and Governance Charter
	January 2014	Monitoring and Organizational Assessment Tool
November 2015	November 2015	Developing a Coordinated Entry and Assessment System that Follows <i>Opening Doors</i> Strategies
November 2015	November 2015	Accessing Mainstream Benefits Assurances
November 2015		Administering CoC and ESG Rapid Re-housing Assistance
November 2015	November 2015	Adoption of CPD-214-012
November 2015		Educational Assurances
November 2015	November 2015	Maintaining Family Unity Policy
November 2015	November 2015	Outreach Methodology
November 2015	November 2015	Prioritizing Veterans' Services
September 2016	September 2017	Reallocation policy
September 2016	September 2016	Early Childhood Education MOU
September 2017	January 2014	Membership
September 2017	September 2017	LGBTQ Antidiscrimination Clause
September 2017	September 2017	Discharge Planning Commitment

# Mountainland Continuum of Care

## Policies and Procedures

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**Policy and Procedure Maintenance:** This will be considered a living document subject to change. Changes to this document will be made in response to changing conditions, regulations, and the will of the membership. Changes will be presented at the Mountainland Continuum of Care meeting time allowed, and adopted at the following meeting. In cases where time does not permit the Executive Committee may approve changes.



## Introduction and purpose

This document outlines key operational components of the CoC, including policies and procedures for the CoC. This document serves as the Mountainland Continuum of Care Governance Charter.

## Background

The Continuum of Care (CoC) is an approach that helps communities plan for and provide a full range of emergency, transitional, and permanent housing and supportive service resources to address the various needs of homeless persons. Homeless people have varying needs, and the Continuum of Care program provides a continuum of services that allows individuals to move from homelessness to permanent housing. Each year through the Continuum of Care process, eligible organizations have the opportunity to receive funding from the U.S. Department of Housing and Urban Development (HUD) to supplement and enhance housing and homeless programs in their area. HUD distributes these Congressionally-appropriated funds to help provide services to homeless individuals and families in high-need areas around the country. HUD also refers to the group of service providers and community members involved in the decision making processes as the "Continuum of Care."

The CoC is responsible for recommending organizations and projects to receive federal funding. Also, the CoC is required to have projects selected and prioritized by a Review Committee which is a subcommittee of the CoC. The Review committee determines which projects submitted by local service organizations will be presented to the CoC for final ranking and submission to HUD for funding consideration. Continuum of Care funding is intended to reduce incidents of homelessness in CoC communities, by assisting homeless individuals and families in quickly transitioning to self-sufficiency and permanent housing.

United Way of Utah County provides staff support for the CoC and has been designated as the Continuum's Consolidated Applicant. As such, United Way administers the Planning Project and Coordinated Intake and Assessment. United Way staff work in collaboration with the CoC Planner to carry out planning, coordination, monitoring, support of CoC Subcommittees, and other activities.

## Mission and Vision

### MISSION

The mission of the CoC is to develop and implement community-wide strategies and solutions to prevent and end homelessness. This is done by:

1. increasing public awareness,
2. advocating for homeless people,
3. coordinating services,
4. educating public, community providers, elected officials, and policy makers regarding homelessness and solutions,
5. identifying gaps using PIT, HIC, and community data,
6. targeting resources and implementing best practices.
7. supporting and collaborating on grant applications,
8. Seeking funding outside of the CoC process to meet community needs (public and private.)

### VISION

The Mountainland CoC's vision is to end homelessness by providing decent, safe and affordable housing and effective support services to homeless, chronic homeless and near homeless families and individuals including – initial stabilization, transitional housing, permanent housing, access to mainstream resources and independence from governmental assistance. This vision emphasizes the complete cooperation, coordination and spirit of partnership of all housing organizations, faith-based organizations, service agencies as well as the private and public sector to efficiently utilize limited resources and to implement effective programs.

The service area for the Continuum of Care is comprised of Utah, Wasatch, and Summit Counties. The Continuum works closely with leaders and providers in Utah's other Continua to ensure that all homeless persons in need have access to services needed to end homelessness.

## Nondiscrimination

The Continuum of Care is a non-discriminatory organization and does not discriminate on the basis of age, sex, race, ethnicity, religion, creed, disability, sexual orientation, familial status, or natural origin in accordance with all state and federal regulations.

### LGBTQ Antidiscrimination Policy

- *CoC Commitment:* As stated in HUD's 2015 "Equal Access to Housing in HUD Programs Regardless of Sexual Orientation or Gender Identity, including Gender Identify Equal Access to Housing, Final Rule," the Mountainland Continuum of Care maintains that no person shall be denied shelter or admission to any housing program or services due to sexual orientation or gender identity. Emergency shelters must find space to accommodate persons with a gender identity that may differ from their sex at birth. Starting in October 2017, the Mountainland Continuum of Care will provide an annual training for case managers to understand the complexities and sensitivities of housing issues for members of the LGBTQ+ community from centers specialized in LGBTQ+ state and national rights. Issues regarding Utah's Fair Housing Sexual Orientation Protected Class, LGBTQ youth homelessness, and local needs for the community will be discussed in each training.
- *Grievance:* The CoC must act if a service provider is reported for denial of services to a client based on sexual orientation or gender identity. First, if an act of discrimination is reported to CoC staff, the Executive Director will be sent a notice of discrimination within three business days of the report. The organization will then be given ten business days to create a report on how they either 1) made restitution with the client, or 2) found defensible evidence for denial of services. If the CoC staff find that the denial of services to the client was wholly or in part due to sexual orientation or gender identity, and that no effort for restitution had been made to the client, they will be reported to Utah's Fair Housing Antidiscrimination and Labor Division. If restitution is not made, organizations will be noted in monitoring findings and subject to discontinuance of future funding.

## Membership

1. Membership in the Mountainland Continuum of Care is broadly representative of agencies or organizations within Mountainland that provide or facilitate homeless services, community members, and consumers.
2. Each agency or organization will have only one voting representative and one alternate voting representative at any given time. These individuals will also serve as the official contact persons for the agency or organization that she/he represents. All members will recuse themselves from any CoC action or decision which may directly affect their agency or organization.
3. Outreach is made to ensure participation from the following groups:
  - Homeless service providers and agencies
  - Community and faith-based organizations
  - Nonprofit housing developers
  - Local government representatives (city and county)
  - Key civic leaders
  - Homeless and formerly homeless persons
  - Homeless advocates
  - Public housing authorities
  - Private health care organizations
  - Mental health service providers
  - State workforce services and eligibility for federal resources
  - Veteran service agencies
  - Colleges and universities

- Substance abuse service providers
  - Business and business associations
  - Key members of local planning groups
  - Political leaders/elected officials
  - Law enforcement and corrections agencies
  - School districts.
4. Prospective members may attend meetings as non-voting members before they are nominated.
  5. New member agencies, organizations or persons must be approved by a simple majority vote of the current membership.
  6. Once membership of the agency or organization has been approved, a representative and alternate representative will be designated by the agency or organization as voting representatives.
  7. The CoC administrative assistant will maintain an official list of member agencies or organizations and their designated representatives and alternate representatives.
  8. Members may be nominated and voted in for membership at each monthly CoC meetings. CoC staff will review CoC membership annually to assure representation throughout the region.

## Meetings and Communication

1. Generally, a minimum of ten (10) member meetings will be held each year, on the second Monday of each month.
2. All the meetings of the members of the CoC shall be open to the public. Meetings other than member meetings, including meetings of the Executive Committee, are not open to the public.
3. The Executive Committee may call special member meetings by providing an agenda to all the members at least seven days prior to such meeting.
4. A quorum of the membership shall exist if a majority of the total members are present in person or electronically.
5. The CoC administrative assistant shall take reasonable steps to insure that all members are notified of the time and place of all member meetings. Meeting agendas will be distributed electronically prior to the meetings.
6. A reasonable period of time shall be set aside for members to address the CoC at the member meetings.
7. All CoC members shall be permitted to propose "new business" for the next member meeting of the Corporation.
8. The annual member meeting of the CoC shall be set by the Executive Committee who shall also set the time and location of the meeting.
9. It is recommended that one annual strategic planning session be held each year.
10. All procedural matters for member meetings not governed by these bylaws, shall follow the provisions of Robert's Rule of Order.
11. The CoC may, by a vote of the majority of the members of the CoC present at a meeting, suspend any provision of Robert's Rules, at any time, whether or not suspension is on the agenda.
12. Motions at member meetings can only be made by voting representatives.
13. Minutes of the CoC meetings will be presented for approval and will be posted on the CoC website.

Between CoC meetings, the leadership and staff of the CoC will keep members involved using some or all of the following methods:

- Maintaining a directory of CoC members, as well as updating and placing it on the CoC website
- Establishing working groups to move the work of the CoC forward between meetings
- Encouraging partners with similar interests to join forces, either by sharing information/best practices or working on strategies to collaborate and support each other's efforts
- Sharing information regularly to maintain a focus on ending homelessness in general and the continuum in particular

Methods of sharing information between CoC meetings will include:

- Information sent out via email
- Information shared in a monthly electronic CoC newsletter
- Information added to the CoC website, including:
  - Information on the work of the Continuum
  - Resources
  - Plans and Implementation
  - Research and data
  - Funding availability, grant application and awards
  - Written agendas and minutes from meetings
  - Policies

## Executive Committee Selection

- The Executive Committee shall consist of not less than three voting CoC members. In addition, the chair and co-chair of the Continuum of Care Committee and the CoC Planner, shall automatically be ex officio members of the Executive Committee. As members resign, the executive committee will appoint an interim member to the position until the next annual member meeting is conducted and a formal vote and approval process can take place.
- This process will be reviewed, updated, and approved by the Continuum annually with the approval of the CoC Policies and Procedures.

## Code of Ethics/Conflict of Interest

Originally Adopted December 2009

The Mountainland Continuum of Care is responsible to its stakeholders that include affiliates, members, donors, funders, and others who have placed faith in our mission, support our goals and work on behalf and with people who are experiencing homelessness in Utah, Wasatch, and Summit Counties. A copy of the Code of Ethics will be distributed to all members of the Council and available on the CoC website

*As members of the Mountainland Region Continuum of Care, we affirm the following core values:*

- **Integrity.** Our organizations' activities, services, and programs are consistent with our stated missions, compatible with our organizational capacity, respectful of the interests of our varied constituencies, and managed with the highest level of professionalism.
- **Respect and Dignity.** We respect the dignity and autonomy of each person, and the integrity, privacy, pride, beliefs, and cultures of our varied constituencies—the people we serve, our employees, donors, volunteers, and others. Policies that govern our working relationships with these constituencies (e.g., client confidentiality, fair process) reflect this commitment.
- **Good Citizenship.** We comply with all applicable federal, state, and local laws and regulations. We keep the broader interests of the community in mind even as we advance our own specific interests, and look for opportunities to become partners with those working in the private and public sectors. We value respectful, reasoned dialogue with one another when we disagree.
- **Care and Loyalty.** As organizations we enable our individual board members to exercise their duties of care and loyalty. Individual board members are reasonably informed and participate in board decisions in good faith. They do not use their position for individual personal advantage.

- Truth-telling and Openness. We provide truthful information about our missions, program activities, use of donations, and finances. We are accessible and responsive to members of the public who express an interest in the affairs of our organizations.
- Accountability. The true measure of our success as nonprofits is whether individual lives—and our communities—change for the better as a result of our work. Being mission-focused, producing measurable outcomes, conducting program evaluations, and developing and maintaining sound financial management are important elements of our accountability.
- Stewardship. We are able to accomplish our missions through the generosity of others. We respect funders' and donors' intentions and restrictions on the use of their funds, and promote responsible stewardship of the resources they entrust to us for the accomplishment of our work.
- Excellence. We support and encourage visionary governance, exemplary management, excellent service and program delivery, and exceptional staff. We value and uphold the highest ethical and professional standards in all working relations.

#### Conflict of Interest

- As members of the CoC, we will avoid any conflict of interest or appearance of a conflict of interest.
- We will avoid any activity with vendors, grantees, or others that would compromise decisions or the ability to effectively carry out the duties for which we are responsible or that would conflict with the best interest of the CoC.
- All gifts, favors, fees or honoraria will be declared except for promotional items or items of nominal value.
- We will avoid influencing the selection of staff, consultants and vendors solely on the basis of a personal relationship.
- Violation of standards by officers, employees or agents of the CoC may result in disciplinary action up to and including termination or removal from the CoC.

## Committees

The CoC will establish subcommittees as needed to carry out the mission and purposes of the CoC. Other than the Executive Committee, each subcommittee shall choose their own chairperson, determine their meeting schedule, and report their work in the CoC regular meetings.

- An Executive Committee will be established to provide oversight for the CoC. (See Executive Committee).
- A Discharge Planning Subcommittee will be established to identify and address issues related to discharging persons from jail, hospitals, mental health care, foster care, substance abuse facilities, corrections, etc. This subcommittee will consist of voting members of the CoC and other community members.
- A Review and Ranking Subcommittee will be established. This subcommittee will be made up of individuals in the community who have interest in the Continuum of Care process but are not an applicant for the funding cycle of HUD's NOFA. This committee will utilize CoC established criteria to thoroughly review and score applications to assure accurate strong applications in response to identified community and HUD gaps and needs. The subcommittee will have an appointed Chair under the direction of the CoC.
- A Community Relations Subcommittee will be established to develop and implement a variety of strategies and activities to increase public awareness; advocate for homeless people; educate public, community providers, elected officials, policy makers, and others about homelessness; and to assist service providers in reaching out to homeless persons and families. Membership will come from the CoC and may be expanded to include other community members.
- A Coordinated Supportive Services Committee will be established: to coordinate services; to support individual agencies in reaching project goals and HUD and CoC established performance goals; to assist projects in increasing their capacity to carry out activities to best serve their homeless clients; to establish and implement a

region-wide coordinated intake and assessment system; to research and share best practices; and to organize and hold regular training for front-line staff regarding services and resources. The Subcommittee is also charged to work with service providers to ensure that family unity is maintained when homeless households with children under the age of 18 enter homeless shelters or housing. The Subcommittee will also work with service providers on developing policies and procedures to maintain family unity. The subcommittee will consist of at least one front-line staff person from each of the housing and homeless service providers in the CoC's geographic area, the lead person implementing the Coordinated Intake and Assessment System (United Way), and the CoC Planner. They meet bi-weekly to review the Continuum's by-name list of most vulnerable clients.

- A Housing Project Subcommittee will be established to carry out strategies and activities intended to increase the availability of housing to meet the housing needs of homeless persons. The members will be key staff members of nonprofit housing developers and housing providers (housing authorities, RRH programs, private developers, etc.) The subcommittee will work to assist the CoC in fulfilling their commitment to "housing first," to ending chronic, family, youth, and veteran homelessness; and to increase the number of housing units/beds to meet the needs of targeted subpopulations.
- An Education Subcommittee will be established to help ensure that homeless children and youth have access to McKinney-Vento educational services, are enrolled in school, and are accessing other needed services. The members of the Subcommittee will include: homeless service providers, school district liaisons for homeless services, Head Start, and others. The members will coordinate services to families and children, ensure service providers are familiar with services, and ensure parents are informed of their rights. A HOME Planning Subcommittee will be established to meet annually to support agencies in seeking HOME funding to increase the availability of housing to end homelessness and to prevent homelessness.

Ad Hoc Committees will be established as needed, by the CoC.

## Priorities

The CoC is committed to addressing HUD and community priorities. In general, it is the policy of the CoC to collaborate with service providers to further the achievement of HUD's goals as articulated in HUD's Strategic Plan and the *Opening Doors: Federal Strategic Plan to Prevent and End Homelessness*.

HUD's goals and guidance include:

- *Housing First* is a proven effective housing model to ending chronic homelessness;
- Creating new dedicated PSH beds;
- Achieving housing stability;
- Assisting program participants to increase income to ensure housing stability and decrease the potential of returning to homelessness;
- Assisting program participants to obtain mainstream benefits
- To ensure housing stability and decrease potential of returning to homelessness;
- Rapid re-housing is a proven effective housing model especially for households with children.

*Mountainland Continuum of Care priorities developed from an in-depth online survey of CoC members conducted in 2017. However, only 10 members responded to the results and there were concerns shared over the validity of the data. Therefore, local needs were primarily discussed per HMIS data and the most recent AHAR report. These results revealed that the greatest local need was beds for the chronically homeless.*

The following is the summary chart of the CoC local priorities as of April 2017 based on survey results.

## 2017 Prioritization Results: Types of Services

Service Type	Score	Tier
Domestic Violence Shelter	0.1789	1
Affordable Rentals for Families	0.1658	
Emergency Shelter	0.1461	2
Affordable Rentals for Single	0.1336	
Transitional Housing	0.1315	
Perm Supportive Housing	0.1248	3
Affordable Rentals for Accessibility	0.1192	
Ownership	0.0000	4

## 2017 Results: Demographic Groups

Population	Score	Tier
Homeless Youth	0.5000	1
Chronic Homeless Families	0.1088	2
Families	0.0890	
Chronic Homeless Adults	0.0587	3
Mentally Ill	0.0576	
DV	0.0569	
Felons	0.0400	
Veterans	0.0289	4
Unemployed	0.0254	
HIV/AIDS	0.0232	
Adults	0.0114	

## Coordinated Intake and Assessment

Mountainland Continuum of Care geographically incorporates Utah, Wasatch, and Summit Counties within the State of Utah. The Mountainland Continuum of Care is involved in the development of a statewide coordinated intake and assessment system.

The Mountainland CoC has been operating under a coordinated system of entry for many years. Homeless and housing service providers have worked closely together to coordinate resources, and to appropriately serve homeless persons. With the implementation of a statewide HMIS system in 2007, most homeless service providers began using common intake and assessment tools.

When in a housing crisis, a consumer may enter the coordinated system by calling or visiting 211 or any homeless or housing service provider participating in HMIS. The system is designed to ensure that every access point can serve as an entry to the system, with no wrong door.

Upon entry, each consumer will be assessed for services through the standardized assessment called the VI-SPDAT. The assessment will determine whether the consumer can be diverted from shelter and slated for prevention services or whether a referral to an emergency shelter or domestic violence shelter is needed. Once the referral destination is identified, the consumer will be provided information regarding the referral and the referral source will be notified of the impending referral via HMIS notification. Upon arrival at the referral destination, the consumer will be enrolled in services using the Standardized Intake form utilized by all participating agencies within the CoC. This form collects all Universal Data Elements and program specific elements to determine if the consumer is defined as a special

population for whom housing options exist. If a client scores high on this assessment, it is recommended they engage in a more in-depth tool called the SPDAT.

## 2017 Prioritization Results: Types of Services

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### Developing a Coordinated Entry System that Follows *Opening Doors* Strategies

The Mountainland Continuum of Care coordinated entry and assessment process follows the characteristics outlined by HUD'S *Opening Doors* strategy. Assessment tools and processes are used across both Mountainland and Balance of State CoCs.



- Prioritization, referrals, and outreach. Clients are prioritized by vulnerability, which is determined by standardized assessments. These are the VI-SPDAT, a prescreening triage tool, and the SPDAT, an in-depth tool that helps case managers assess specific resources for the client. Clients who lack permanent housing and receive high scores on standardized assessments are reviewed by name on a biweekly basis by a subcommittee called "Coordinated Support Services." Each direct-service agency within a county area provides one representative to meet with this group. These representatives typically include lead case managers from public housing authorities, non-profits that lead street outreach (this team surveys the area several times a week), veterans, and family services, a CIT trained officer from the local police department. An MOU discussing confidentiality and purposes of the committee was agreed to and signed by executives of each agency. This group is established in Utah County and is being generated in Summit County. Outreach has been made to Wasatch County.

An aggregate report of unplaced, assessed clients within the Continuum jurisdiction is exported from the HMIS database by the HMIS lead (the Assistant Planner). Client information is sorted by SPDAT score, chronic homeless status, VI-SPDAT score, veteran status, and family status. This export list is referred to as the "by-name" list, which the committee reviews, discusses, and updates client by client. In this process, clients with the highest vulnerability scores on the SPDAT assessment with a chronic homeless status are discussed first, with information necessary to create referrals, to assess fit with current vacancies in the area, as well as the clients' desire to receive housing services. All eligible referrals are accepted. Subpopulations such as families with children, victims of domestic violence, and veterans are referred to agencies that can offer the most direct services for their needs.

It is recommended that clients that score an 8 or above on the VI-SPDAT assessment to receive the SPDAT assessment. As suggested in the broader BoS-MTL Coordinated Entry and Assessment Policies and Procedures, clients with a scores of 40 or above on the SPDAT are recommended for permanent supportive housing services. Clients with scores between 4 and 7 on the VI-SPDAT or 20 and 39 on the SPDAT may receive rapid rehousing services and or other forms of housing assistance. Clients with scores lower than 3 on the VI-SPDAT or 20 on the SPDAT are considered capable of self-resolving their housing situation and should be diverted to mainstream services.

- Low Barrier. As suggested by HUD, "coordinated entry and placement processes do not screen people out for assistance because of perceived barriers to housing or services, including but not limited to income or employment, drug or alcohol use, or a criminal record." In most projects, clients are not required to participate in services, although agencies will continually attempt to engage with clients if it is perceived that support is needed. Federal law and local ordinances do not permit individuals with particular offences to be housed in public housing (e.g., sex offenders or the manufacturing and production of methamphetamine). In other cases, agencies attempt to provide housing opportunities that are lenient with findings on an individual's background check. Landlords that are wary of checkered backgrounds can be insured with additional financial insurance through a private community-based flex fund (the Utah County Housing First Fund) to mitigate risk of damages to their property.
- Housing First orientation. HUD states that "the coordinated entry process is Housing First oriented, such that people are housed quickly without preconditions or service participation requirements." Participants that score high on our standardized vulnerability indexes are prioritized and recommended for permanent supportive housing programs within the Continuum that operate with a Housing First approach and reflect low barrier policies. Non-CoC funded programs may require more restrictive requirements within their service models, and the most vulnerable clients are not typically recommended for these settings.



- **Person-Centered.** As mentioned above, service providers (public housing authorities, local non-profit organization representatives, etc.) systematically and continuously inform each other of vacancy opportunities for prioritized clients. These placement options are recommended to clients, and if the client consents to one or several of them, case managers advocate on behalf of the client to help them obtain a lease in their name. If the client refuses these opportunities, case managers continue to find the most amenable option for him or her with service providers on a biweekly basis.
- **Fair and Equal access.** HUD mentions the importance for “all people in the CoC's geographic area have fair and equal access to the coordinated entry process, regardless of where or how they present for services.” The Mountainland CoC has centralized services in major cities in each the counties it serves, but any client can call the 24 hour 2-1-1 resource line to access information about agencies that participate in coordinated entry services. A local 2-1-1 central contact for housing services is available when agencies phone numbers are busy. This contact directs clients to the most direct services that meets their resource needs. However, at this time, only service agencies can do a formal intake process with the VI-SPDAT and SPDAT assessments. 2-1-1 outreach employees and service providers all strive to employ someone on staff that speaks Spanish, a dominant language used in the area. When other language services are required, agencies can contact the Refugee and Immigrant Center in Salt Lake City, Utah.
- **Emergency services.** We do not have an emergency shelter placed in our CoC. When funding is available, especially for families with children, clients can be put into motels for a limited amount of time with a voucher, whether or not a full assessment is completed. When this shelter is unavailable, clients are diverted to family or friends, or to shelters in Salt Lake City.
- **Standardized access and assessment.** Prioritization of placement within the Mountainland Continuum of Care starts with a standardized process of coordinated intake (entry) across agencies that is recorded in Clientrack, the State's HMIS system. Each agency attempts to complete a VI-SPDAT (The Vulnerability Index - Service Prioritization Decision Assistance Tool) assessment with clients. This is a triage tool used to justify services and to assess if the client needs further screening. If so, a SPDAT (Service Prioritization Decision Assistance Tool) assessment is attempted with the client, which is an in-depth tool meant to evaluate specific services and appropriate placement needed for the individual. This data is inputted into the HMIS (Homeless Management Information System) database, a statewide tool used to track clients' progress with service providers.
- **Inclusive.** Standardized assessments are inclusive for all subpopulations, including families. The F-VI-SPDAT and the F-SPDAT are tools used to score adults with children, and each of these have service recommendations based on scoring. Case managers working with clients with disabilities should attempt to use the prescreening tool, but may by-pass this process if the finds the questions too cumbersome or difficult. Case managers can then progress to the full SPDAT assessment for resource help. Recently, service providers for domestic violence victims were also able to receive clearance to participate in HMIS with their own input procedures that are in compliance with VAWA.
- **Ongoing planning and stakeholder consultation.** Feedback about assessment tools and processes for coordinated entry are solicited bi-annually. CoC administrators implement feedback in the overall policy, and changes are taken to the broader CoC for vote at least annually. HMIS data can also inform local planning if it is reported as aggregate data.
- **Safety planning.** VAWA policies are respected within the coordinated entry and assessment process. Domestic violence victims are not identified by name in bi-weekly meetings and domestic violence case managers ask questions that are general in nature to seek out vacancies and resource for clients. DV service

providers now have an ability to access HMIS with a codified system that does not identify clients by personal information.

- Using HMIS and other systems for coordinated entry. All assessments are recorded in HMIS, and the by-name list is created through an HMIS report.
- Full coverage. Utah and Summit counties have full access to the coordinated entry process, and select service providers also cover the Wasatch county area.
- Data quality. Within the MCoC jurisdiction, high data quality within the by-name list is a high priority. Case managers at all agencies are trained by the State HMIS staff to update clients' statuses, services, and assessments within seven days. However, some clients still have names that lack a sufficient status update, which can be modified by the CSS committee. When names are reviewed every two weeks, clients with status of six months or older are flagged by the HMIS lead (the Assistant Planner). CSS committee members are allowed one calendar week to review these flagged names before they are reviewed by the entire committee. When a client has a status update older than six months or longer and has not been seen by any member of the CSS committee for six months, their status will be changed to "disappeared" in HMIS. When clients have a status update older than six months or longer and is not recognized by anyone on the CSS committee, his or her status will be listed as "inactive" in HMIS. This process will ensure that valuable time is spent on clients that are currently within our reach.

### Prevention and Diversion

With HPRP funding, the 2 funders (Provo City and The State of Utah) collaborated in their funding award decisions and awarded funding to a single agency for prevention (Community Action Services and Food Bank in Provo). Community Action Services and Food Bank (CASFB) was an established agency in the Mountainland region that had been the primary source for prevention services in Utah, Wasatch, and Summit Counties, including rental assistance, landlord mediation and eviction avoidance. CASFB participates in HMIS and utilizes the common intake and assessments for all UHMIS participants. If the consumer is deemed an appropriate candidate for prevention funds, a referral will be made to CASFB.

## Project Review Policies and Procedures

Eligible proposals will be prioritized for inclusion in the CoC's coordinated application by the Review Subcommittee acting as the review and rating group. Applications not scoring high enough and not meeting the threshold requirements will not be placed on the project funding request as part of the Consolidated Application (Formerly Exhibit 1). These policies and procedures are updated on an annual basis following the release of the HUD NOFA.

This subcommittee will be made up of individuals in the community who have interest in the Continuum of Care process but are not an applicant for the funding cycle of HUD's SuperNOFA. This subcommittee will utilize CoC established criteria to thoroughly review and score applications to assure accurate strong applications in response to identified community and HUD gaps and needs. The subcommittee will have an appointed Chair under the direction of the CoC.

- Review Subcommittee members must declare that they have no conflict of interest.
- Members must be appointed every year.
- Members must be able to dedicate time for application review and committee meetings.
- Review Subcommittee members (3-5) are given: information pertinent to the CoC; role of the Review Subcommittee; review of the scoring tools, applications, and resources
- Review Subcommittee members review eligible application proposals and scoring materials. CoC administrative staff prepares a summary for each project application to assist the subcommittee in their work.
- Prior to the review and rating meeting, members prepare and note any questions/comments.

- If the CoC staff have any knowledge that could lead HUD to deny granting funds to a project, they will share that information with the Review Subcommittee. CoC staff will discuss this information with applicants as part of technical assistance provided to assist project development.
- The Review Subcommittee meets to review and discuss each application together and to individually score them. CoC staff is present at the Subcommittee meeting to record decisions of the Subcommittee and any comments/ recommendations they have for applicants.
  - The Review Subcommittee discusses the merits of each proposal, and rates the applications.
  - Overall raw scores are recorded by CoC Staff.
  - The Subcommittee considers adjustments for such issues HUD incentives or requirements, and project findings.
  - The Subcommittee considers proposal changes or project budget adjustments that may be required to meet community needs.
  - The Subcommittee determines the rank and funding levels of all projects considering all available information.
  - During deliberation, CoC staff will provide technical assistance by responding to questions of the Subcommittee members, correcting technical inaccuracies if they arise in conversation, and reminding the Subcommittee members of their responsibilities if they step outside their purview.
- Scoring results are delivered to applicants with a reminder about the appellate process.
- Each applicant receives feedback on their proposals on technical issues and changes needed by CoC staff. Applicants are asked to correct their applications and send them back to CoC staff before final submission to HUD.
- Applications which do not meet the threshold requirements will not be included in the Priority Listing in the Consolidated Application, and therefore will not be forwarded to HUD for consideration.
- If more applications are submitted than the CoC has money to fund, the lowest-scoring applications will not be included in the Priority List in Exhibit 1, and therefore will not be forwarded to HUD for consideration.
- The Subcommittee may reallocate funds in whole or in part from projects in order to create new projects that would improve Continuum system performance (for more details, see "Policy for Reallocation").

#### *Policy for Reallocation*

*Reallocation is when a CoC shifts funds in whole or part from existing eligible renewal projects to create one or more new projects without decreasing the CoC's Annual Renewal Demand (ARD). New projects created through reallocation must meet the requirements outlined in the annual NOFA. In FY2016, eligible new projects for reallocation only included a. New permanent supportive housing for people experiencing chronic homelessness (singles and families); b. Rapid re-housing to serve homeless households (singles and families); c. HMIS expansion; d. SSO for a centralized or coordinated assessment system.*

*The Rank and Review committee may review funds from renewal projects for reallocation if renewal projects have:*

- *Low utilization rates*
- *A history of returning high percentages of project funds (more than 15%) to HUD*
- *A history of serving ineligible clients*
- *Underperformed on APR goals without reasonable cause (indicated in monitoring reports)*
- *Continue to manage project models that are low priority for the CoC and/or HUD*

*Renewal project applicants who have a portion of their proposed budget decreased or rejected by the CoC will receive notification by letter from the CoC. Rejected projects will be notified at least 15 days before the final submission of the Consolidated Application.*

#### *Policy for Appeals of Rating/Ranking*

##### *Eligible Appeals*

- The application of any applicant agency which a) is unranked, or b) receives decreased funding (e.g. projects receiving reallocated renewal funds) may appeal.
- Applicants that have been found not to meet the threshold requirements are not eligible for an appeal.

- Appeals cannot be based upon the judgment of the Review Subcommittee.

Applicants may appeal if they can:

- Prove their score is not reflective of the application information provided; or
- Describe bias or unfairness in the process, which warrants the appeal.

All notices of appeal must be based on the information submitted by the application due date. No new or additional information will be considered. Omissions to the application cannot be appealed.

*Per 24 CFR 578.35(b), project applicants that believe they were not allowed to participate in a fair and open process and that were rejected by the CoC may appeal the rejection directly to HUD by submitting as a Solo Application prior to the application deadline.*

## Grievance

**Originally adopted December 17, 2012**

The Grievance process outlined below is a statement to eligible organizations and the community that the Mountainland Continuum of Care Committee is committed to fairness and openness in the CoC funding process. The Department of Housing and Urban Development does not mandate any particular grievance process, but has determined that it is the responsibility of the Continuum of Care to establish a grievance process that is available and timely. The Department of Housing and Urban Development determines the amount of the Continuum of Care Program allocation available to the Mountainland Region, the program and services eligibility, the minimum requirements for renewal projects and the minimum requirements for new projects.

If it is determined that the Executive Committee of the CoC cannot make a fair and unbiased recommendation regarding any grievance, the Executive Committee of the United Way of Utah County will be asked to participate/assist. The grievance process procedures here submitted are available to individuals, agencies, and the general public upon request. Any organization or agency wishing to appeal funding decisions must submit notice of the appeal, signed by the chief volunteer officer of the organization making the appeal, within 10 days of the decision.

The first appeal should be made to the chair of the CoC who will then notify all CoC members that an appeal has been made. The CoC Executive Committee will convene immediately, within 10 working days of receipt of the written appeal, to consider the merit of the appeal. In the case of an appeal which provides previously unavailable information or the correction of erroneous information, notification of a decision concerning the appeal will be provided within 10 days of receipt of the appeal.

In the case of appeals for the purpose of contesting alleged prejudice, violation of law or HUD or local CoC guidelines, fraud, or misuse of federal funds, the CoC Executive Committee may appoint an independent appeals committee composed of impartial Utah County officials and service providers. This group will review the information produced in the appeal and reach a decision concerning the merit of the appeal within 20 days of the receipt of the appeal. All appeal decisions will be final.

## HMIS

The State of Utah Homeless Management Information System (UHMS) is a collaborative project of three Continuum of Care within the State of Utah, namely Mountainland, Balance of State, and Salt Lake/Tooele, and the State Community Service Office (SCSO), Housing and Community Development Division of the State of Utah Department of Workforce Services (DWS), and participating Partner Agencies. HMIS is a computerized data collection application designed to capture information about homeless people and homeless programs over time. HMIS is mandated by the U.S. Department of Housing and Urban Development (HUD) under the HEARTH Act for all communities and agencies receiving HUD Continuum of Care (CoC) and Emergency Solutions Grant (ESG) homeless assistance funds. HMIS is essential to efforts to streamline client services and inform public policy. Through HMIS, homeless people benefit from improved coordination in and between agencies, informed advocacy efforts, and policies that result in targeted services. Analysis of information gathered through HMIS is critical to the preparation of a periodic accounting of homelessness in the State of Utah and each Continuum, which may include measuring the extent and nature of

homelessness, the utilization of services and homeless programs over time, and the effectiveness of homeless programs. Such an unduplicated accounting of homelessness is necessary to service and systems planning, effective resource allocation, and advocacy. The parties to this Memorandum Of Understanding (MOU) share a common interest in collaborating to end homelessness and successfully implementing and operating HMIS in the State of Utah.

The Mountainland Continuum of Care goal is to collaboratively provide a range of homeless housing and services. The continuum of care system components includes prevention, emergency shelter, transitional housing, permanent housing and permanent supportive housing. Outreach efforts and specialized supportive services, actively identify and support homeless individuals and families and work with them to access mainstream resources. HMIS will enable homeless service providers to collect uniform client information over time. Analysis of information gathered through HMIS is critical to accurately calculate the size, characteristics, and needs of the homeless population; these data are necessary to service and systems planning, and advocacy.

## HMIS Governance

The State of Utah CoC's are the lead planning groups of the HUD funded efforts to end homelessness and for implementing and operating a homeless System within their jurisdictions. A Memorandum of Understanding outlines in detail the expectations for each of the three continua and the State of Utah. Per HUD policy the CoC's are responsible for HMIS project oversight and implementation, which encompasses

- a) planning,
- b) administration,
- c) HMIS budget approval and oversight,
- d) grant monitoring and work plan submission approval,
- e) software selection,
- f) managing of HMIS data compliance with HMIS data standards,
- g) reviewing and approving all policies, procedures and data management plans contributing to HMIS Organizations

The CoC's oversight and governance responsibilities are carried out by its Steering Committee. The general decision making process is as follows:

- a) Draft policies, procedures, data management plans and other work will be reviewed, amended, and preliminarily approved by the Steering Committee.
- b) The CoC representatives on the Steering Committee are responsible to share draft policies, procedures, data management plans and other work with their perspective CoCs for CoC feedback and approval.
- c) The Steering Committee may give final approval of policies, procedures, data management plans and other work after receiving feedback and approval from each of the three CoCs.
- d) No policy, procedure, data management plan or other work may be approved by the Steering Committee without confirmation and approval by all three CoCs.

A joint, extensive policy guide has been developed between the Mountainland CoC and the Balance of State CoCs within standardized coordinated entry practices within HMIS. Recommendations in this policy inform how services can be directed to clients based on assessment scores.

## HMIS Steering Committee & Information Committee

The State HMIS Steering Committee is made up of representation of all three CoC's for the State of Utah as well as ESG representation, local leaders and the Lead Agency HMIS staff. The role and responsibility of the Steering Committee is defined in the Governance in section C.1.

The role and responsibility of the Information Committee is to provide analysis of trends and performance of the homeless system and detailed HMIS data reports as requested by each CoC objectives. This Committee will inform the Steering Committee and the SHCC of homeless data which may be collected outside of the HMIS system.

### Lead Agency Designation

The three CoC's designated the State Community Services Office (SCSO), Housing and Community Development Division of the State of Utah Department of Workforce Services (DWS) to manage the HMIS operations on its behalf and to provide HMIS project administration functions including staffing with State employees and managing budget and grant requirements.

### Point in Time Count

The Mountainland CoC conducts at least one point-in-time count of homeless persons per year. This count collects data on where homeless households are sleeping, household size, disability, and chronicity of homelessness. HUD requires that all states with federally-funded homeless services participate in PIT during the last part of January each year. The PIT count is a physical count or census of all homeless persons living in emergency shelters, transitional housing, and on the streets on a single night. It does not capture those who experience only brief episodes of homelessness or account for changes throughout the year due to economic and social forces and therefore estimates are generated to estimate the total number of persons experiencing homelessness in a given year, called an "Annualized Count".

Utah has a single HMIS that collects information on homeless persons served, such as their characteristics and circumstances and the services they receive. The Utah HMIS covers around 80% of homeless service providers statewide.

### Criteria and Decision-making Process for excluding Geographic Areas from Point in Time Count

The Ad Hoc Point in Time Subcommittee is committed to carrying out a process to provide counts of sheltered and unsheltered people experiencing homelessness on a single night in our three county region. Counts are provided by household type (individuals, families, and child-only households), and are further broken down by subpopulation categories, such as homeless veterans and people who are chronically homeless.

The Subcommittee is also committed to making the most effective use of staff, volunteers, and other resources in the unsheltered count. Therefore the Subcommittee has used the following criteria and decision-making process to identify where the unsheltered count should be carried out and what specific geographic areas should be excluded from the unsheltered count. The CoC Assistant Planner leads the effort to carry out the unsheltered count. Several years ago the Subcommittee acquired maps of each of the three counties that includes cities, towns, streets, highways, roads, and topography. The three county area encompasses 5,000 square miles and includes a large lake, two reservoirs, high mountains, mountain valleys, a resort town, and two interstate highways. Our region is considered rural, urban and suburban.

The Subcommittee utilized the knowledge of the street outreach team as well as law enforcement, city parks and recreation personnel, case managers, soup kitchen staff as well as knowledge gained through conversations with persons living on the streets to map out locations which are potentially frequented by individuals and families who are homeless. The maps were used to parcel out different sectors on the maps throughout the three county region which would then be checked by teams of 2 to 4 persons. The count is carried out between 4 am and 6 am.

The following criteria is used to exclude specific geographic areas from the unsheltered count. Those areas which are excluded may exhibit one or more of these criteria. The Subcommittee members were in agreement that it is highly unlikely for persons who are homeless to be present in any of these locations because there are no amenities, water, shelter, (i.e. generally uninhabitable) and are far from typical transportation systems.

1. Areas that are inaccessible by vehicles or people;
2. Remote west desert area;
3. The Wasatch Mountain range and high mountain passes;
4. Those areas (mountains and desert) that are only frequented for recreational purposes and which are many miles from any community;
5. Isolated grazing land (cattle and/or sheep); and/or
6. Isolated river ways.

## Housing Inventory Chart

Every year the CoC will collect data to complete a housing inventory. This inventory will occur at a single point-in-time in the last ten days in January. The date of the housing inventory will be the same date as the point-in-time sheltered and unsheltered count.

For each program that houses persons experiencing homelessness, the CoC will collect data on:

- The number of beds and units currently serving individuals and families
- The number of beds and units created in the past year ("new inventory")
- The number of beds and units that are fully funded but not yet serving homeless people ("under development")

Housing inventory data must be obtained from all emergency shelters, transitional housing, and permanent supportive housing programs in the CoC, including those programs that do not receive HUD funding. Data collected from permanent supportive housing programs will be focused only on the beds and units that are dedicated to housing persons who are formerly homeless. The number of vacant emergency shelter, transitional housing, and permanent supportive housing units must be collected for the unmet need determination.

To collect Housing Inventory data, the CoC will annually:

- Use HMIS data to complete the Housing Inventory Chart OR
- Conduct a housing inventory survey (via mail, fax, e-mail, web-based, phone or on-site) of homeless providers, which will include the previous year's Housing Inventory Chart and instruct providers to review and update housing inventory information on the specified night of the housing inventory. If the CoC decides to collect housing inventory information via a survey, the CoC will:
  - Provide written instructions to all homeless providers on how to report an accurate bed inventory
  - Systematically train provider-level staff on how to obtain an accurate bed inventory
  - Include definitions of key terms used in the inventory chart
  - Follow-up with providers (e.g., via telephone, email, or in-person) to ensure the maximum possible response rate and accuracy of the housing inventory information
  - After receiving the inventory information, confirm the information with each provider to verify the accuracy of the data

## Unmet need

Annually, the CoC reviews the data collected as a result of the homeless counts and housing/services inventories, and determine what housing and services are needed given the homeless populations. The methods to undertake this review include:

- Determining Housing Needs
- Calculating Unmet Needs
- Prioritizing Gaps



Each year the CoC reports to HUD what housing for homeless people are needed in the community, including the need of families and individuals for Emergency Shelter beds, Transitional Housing beds, and Permanent Supportive Housing beds. This information is also necessary for the long-term program and strategic planning. HUD's standardized methodology for calculating unmet need uses point-in-time data and local provider expertise to calculate an initial estimate of unmet need. Because the estimates from the standardized methodology may not reflect all that is known about the homeless population in our community, the CoC will also convene key community stakeholders to discuss the initial estimates and determine if adjustments are necessary to reflect other local information. The CoC will seek assistance from the State Community Services Office to lead a special work session wherein key agencies, service providers, and others are convened to establish the annual unmet need.

#### *Determining Housing Needs*

Unmet need reflects the difference between a CoC's bed capacity and the number of homeless persons in the CoC at one point-in-time. Thus, most information for the unmet need calculation is collected as part of the point-in-time homeless count and housing inventory process, except the housing needs of the community. To determine the housing needs of homeless persons who are residing in emergency shelter, transitional housing, and persons who are unsheltered, the CoC will gather expert opinions of homeless assistance providers.

The CoC will obtain the housing needs of sheltered homeless persons by asking each emergency shelter and transitional housing provider listed in the Housing Inventory Charts to estimate the percentage of their clients that need emergency shelter, transitional housing, and permanent housing to ultimately resolve their homeless situation.

The CoC will obtain the housing needs of unsheltered homeless persons by engaging the Wasatch Mental Health outreach team lead in a special meeting and through the completion of the 100K Homes Vulnerability Index/SPDAT with unsheltered persons during the PIT/Registry Week process.

When determining housing needs, the CoC will remember that:

- Each person or family should be placed in the one program type that will best assist the household in resolving homelessness
- The calculation of unmet need for each program type (emergency shelter, transitional housing, or permanent supportive housing) should be done separately for unaccompanied individuals and persons in families with children; this is necessary to accurately reflect the bed capacity needs for each group.

#### *Calculating Unmet Need*

The CoC will begin by using the following standardized formulas for calculating unmet need by program type (emergency shelter, transitional housing, and permanent supportive housing):

- Unmet need for Emergency Shelter (ES) = (The number of unsheltered homeless persons who need ES + the number of persons currently in ES who will only need ES) - (Total number of ES beds + ES beds under development)
- Unmet need for Transitional Housing (TH) = (The number of unsheltered homeless persons who need TH + the number of persons in ES who need TH + the number of persons in TH who will only need TH) - (Total number of TH beds + TH beds under development)
- Unmet need for Permanent Supportive Housing (PSH) = (The number of unsheltered homeless persons who need PSH + the number of persons in ES who need PSH + the number of persons in TH who need PSH) - (Total number of vacant PSH beds + PSH beds under development)

## Accessing Mainstream Benefits Assurances

It is essential for homeless individuals and families to access mainstream benefits and programs and to receive assistance through those programs. The CoC is committed to providing CoC project staff members with the most current information available about mainstream benefits and programs so they may assist project participants to access these resources. This may be accomplished through announcements from key agencies at regular CoC meetings; announcements in the monthly CoC e-newsletter; orientations in CoC meetings and/or specific subcommittee meetings. The CoC holds two half-day trainings on mainstream programs every other year with participation of staff from CoC funded and non CoC funded homeless and housing services. The programs covered in these efforts include: state general assistance, Medicaid, Medicare, SNAP, Section 8 housing vouchers, WIC, community health programs, accessing state identification, public housing, etc.



## Administering CoC and ESG Rapid Re-housing assistance

The CoC will develop and implement the following policies and procedures related to administering CoC and ESG Rapid Re-Housing Assistance. The CoC will seek assistance and guidance from the Salt Lake/Tooele CoC, the State Community Services Office, and local RRH service providers in developing the policies and procedures.

In addition to those Rapid Re-housing policies found elsewhere in this policy and procedures manual, the Mountainland Continuum of Care urges individual agencies to utilize the attached addendum "*Rapid Re-Housing Best Practice and Written Standards*" as a point of reference in the development of program policy and procedures, developing new programs of this type and in the training of new staff.

### POLICY AND PROCEDURES

1. Standard policies and procedures for evaluating individuals' and families' eligibility for assistance under ESG and CoC RRH.
2. Policies and procedures for coordination among emergency shelter providers, essential service providers, homelessness prevention and rapid re-housing assistance providers, other homeless assistance providers, and mainstream service and housing providers.
3. Policies and procedures for determining and prioritizing which eligible families and individuals will receive homelessness prevention assistance and which eligible families and individuals will receive rapid re-housing assistance.
4. Standards for determining the share of rent and utilities costs that each program participant must pay, if any, while receiving homelessness prevention or rapid re-housing assistance.
5. Standards for determining how long a particular program participant will be provided with rental assistance and whether and how the amount of that assistance will be adjusted over time.
6. Standards for determining the type, amount, and duration of housing stabilization and/or relocation services to provide a program participant, including the limits, if any, on the homelessness prevention or rapid re-housing assistance that each program participant may receive, such as the maximum amount of assistance, maximum number of months the program participants receives assistance; or the maximum number of times the program participants may receive assistance.

## Adoption of "Notice CPD-14-012: Prioritizing Persons Experiencing Chronic Homelessness in Permanent Supportive Housing and Recordkeeping Requirements for Documenting Chronic Homeless Status"

In September 2014 the CoC presented CPD-14-012 in a CoC general meeting. There was consensus to commit as a CoC to the prioritization of PSH strategies to increase the number of PSH beds available for chronically homeless persons, to adopt the orders of priority and to use our CoC Coordinated Intake and Assessment process to determine eligibility and establish a prioritized waiting list.

In support of that decision, we propose the adoption of the following language for the CoC Policies and Procedures Manual.

#### Notice CPD-14-012

The CoC hereby commits to ensure that the homeless individuals and families with the most severe service needs within our community are prioritized in Permanent Supportive Housing, which will increase our progress of ending chronic homelessness.

We commit to increase our progress to ending chronic homelessness by increasing the number of CoC Program funded PSH beds that are dedicated to persons experiencing chronic homelessness and by prioritizing at least 85% of our non-dedicated PSH beds for use by persons experiencing chronic homelessness.

In order to ensure that all CoC Program-funded PSH beds are used most effectively, we hereby adopt and will incorporate into our coordinated intake and assessment the following order of priority:

- 1<sup>st</sup> Priority – Chronically homeless individuals and families with the longest history of homelessness and with the most severe service needs.
- 2<sup>nd</sup> Priority – Chronically homeless individuals and families with the longest history of homelessness.
- 3<sup>rd</sup> Priority – Chronically homeless individuals and families with the most severe service needs.
- 4<sup>th</sup> Priority – All other chronically homeless individuals and families.

In order to ensure that all PSH beds not dedicated or prioritized for persons experiencing chronic homelessness, we hereby adopt and will incorporate into our coordinated intake and assessment the following order of priority:

- 1<sup>st</sup> Priority – Homeless individuals and families with a disability with the most severe service needs.
- 2<sup>nd</sup> Priority – Homeless individuals and families with a disability with a long period of continuous or episodic homelessness.
- 3<sup>rd</sup> Priority – Homeless individuals and families with disability coming from places not meant for human habitation, safe havens, or emergency shelters.
- 4<sup>th</sup> Priority – Homeless individuals and families with a disability coming from transitional housing.

Recipients of CoC Program-funded PSH should follow the order of priority above, as adopted by the CoC, while also considering the goals and any identified target populations served by the project.

The specific details for each of these priorities may be found in "Notice CPD-14-012: Prioritizing Persons Experiencing Chronic Homelessness in Permanent Supportive Housing and Recordkeeping Requirements for Documenting Chronic Homeless Status".

## AHAR Participation

The Annual Homeless Assessment Report (AHAR) is a report by HUD to the U.S. Congress on the extent and nature of homelessness in America. It is based on data from Homeless Management Information Systems and on information from Continuum of Care (CoC) Collaborative Application. The AHAR provides estimates of the number of homeless persons nationally, a descriptive profile of homeless persons, and an analysis of service use patterns.

The HMIS team for the CoC is responsible for completing the AHAR. Client level data for the AHAR will be collected through the Homeless Management Information System (HMIS) based on HUD's universal data elements which all communities receiving HUD Homeless Assistance funding are required to collect and maintain and which are the same data elements used to generate HUD's Annual Performance Reports (APRs).

Unduplicated data will be collected for the four standard AHAR reporting categories: Emergency Shelter-Individuals, Emergency Shelter-Families, Transitional Housing-Individuals and Transitional Housing-Families. Data will also be collected for any supplemental reporting categories established by HUD. In order to participate in the AHAR, the CoC's HMIS must be capable of:

- Producing a one day point-in-time count, average day count, and longitudinal counts.
- Identifying clients with multiple program use—e.g., how many people in ES-IND were also served in TH-IND.
- Counting persons by household type—e.g., individual adult male, adult in household with children, or unaccompanied youth.
- Generating frequencies by basic demographic characteristics.
- Cross-tabulating total length of stays within each program-household type, by gender and age.
- Totaling the number of households with children by program type.

UHMIS has established continuum-wide data quality control procedures to ensure the accuracy and completeness of AHAR data collected and reported. On an annual basis (according to HUD's designated data collection schedule), UHMIS will de-duplicate and aggregate the client information collected to produce and submit the AHAR data report.

- The AHAR data collection period is October 1st to September 30th of each year.
- UHMIS will submit the AHAR report electronically through the AHAR Exchange to the HUD-designated private research firm, responsible for compiling the national AHAR.
- A draft AHAR report will be submitted by the HUD-designated date.
- UHMIS and CoC staff will work with the AHAR Research team to correct any data problems.
- The Mountainland CoC staff will do a final review of the AHAR report, and will submit a final AHAR report by the HUD-designated date.

## Annual Performance Report

Annual Performance Reports (APRs), formerly called Annual Progress Reports, are required by HUD on an annual basis to track the progress and accomplishments of HUD's Continuum of Care Homeless Assistance Programs.

The APR gathers information on how programs assist homeless persons obtain and remain in permanent housing, increase skills and income, increase access to mainstream resources, and attain greater self-determination. This information is used by HUD and Congress to assess outcomes from federal funding. The APR is also useful to the CoC, grantees, and sponsors as a planning and management tool to analyze client demographics and service needs; to evaluate project outcomes; to make improvements; and to set future goals for their projects.

To ensure accurate reporting and local accountability, it is the policy of the Mountainland' CoC that agencies are to submit a pdf draft copy of their esnaps submission to the HMISS designated staff person 60 days before the APR is due to HUD. Following that review, agencies are to submit a draft copy to the CoC designated staff person. Once the HMISS staff and CoC staff have reviewed the reports and any corrections have been incorporated, the agency may then submit their APR to HUD

## Discharge Planning Commitment

The Mountainland Continuum of Care has committed to helping all persons discharged from institutions and programs such as foster care, county jails, hospitals, and mental facilities to be safely relocated to places meant for human habitation. The regional foster care system, Utah County Substance Abuse, local hospitals, and State Mental Hospital all have policies in place to help relocate persons to motels or shelter stays upon discharge. The Mountainland Continuum of Care created the Discharge Planning Committee in 2007 to strategically focus on institutions that do not have any policies in place (such as local jails) to safely discharge persons to prevent a return to homelessness. The Discharge Planning committee will meet monthly to engage with institutions of care or justice to help clients to secure IDs and assess their housing plans before discharge. The committee also works with a local faith-based group and non-profit organization with securing motel vouchers for persons being discharged, in addition to a local emergency shelter/transitional housing facility to directly relocate clients. The committee works closely with Utah County Substance Abuse and Wasatch Mental Health's Justice Reinvestment Initiative to ensure that these clients are quickly referred to the coordinated entry and assessment process for housing services.

As of 2017, local county jails do not have a policy in place to safely discharge convicted individuals. The Mountainland Continuum of Care will engage with county governments to pursue a formal discharge policy by September 1, 2018.

## Educational Assurances

### **A portion of the following was originally adopted January 14, 2013**

The Mountainland' Continuum of Care (CoC) is committed to ensuring that the educational needs of homeless youth and their families are met. The CoC Education Subcommittee is tasked to assist in coordinating educational and other services to families, ensure families are informed of their eligibility for services, and assist agencies in implementing procedures to meet the educational needs of children within homeless families.

Pursuant to McKinney- Vento McKinney-Vento Homeless Assistance Act a homeless child is defined as a child who does not have a fixed, regular, and adequate nighttime residence or whose primary nighttime location is in a public or private shelter designated to provide temporary living accommodations, or a place not designed for, or ordinarily used as regular sleeping accommodations for human beings.

This definition includes a child who is:

- sharing the housing of other persons due to loss of housing, economic hardship or similar reason (sometimes referred to as double-up);
- living in motels, hotels, trailer parks, or camping grounds due to the lack of alternative adequate accommodations;
- living in a car, park, public space, abandoned building, substandard housing, bus or train stations or similar settings;
- abandoned in hospitals;
- awaiting foster care placement; or
- a migratory child who qualifies as homeless because he or she is living in circumstances described above
- an unaccompanied youth is a homeless child not in the physical custody of a parent or guardian who is in a living situation described above.

CoC Project Policy: All new and renewal CoC-funded projects as well as ESG-funded projects which serve homeless families with children are required to have activities in place which ensure that all children are enrolled in school and are connected to other appropriate services such as Head Start and Early Head Start. They are required to assign at least one caseworker to inform families of their eligibility for the McKinney-Vento educational services as well as other services to assist families in accessing these services.

This policy and standard was reviewed and assessed at each project monitoring in the spring and summer of 2015 and will be reviewed with project staff at each annual monitoring visit going forward. All CoC funded and ESG funded projects met the requirements.

The CoC has designated the CoC Assistant Planner as the educational liaison to support the work of the CoC Education Subcommittee which works directly with local educational authorities to meet these requirements and to ensure that sufficient educational services are provided. The Education Subcommittee membership includes the school district homeless liaisons, shelter providers, housing providers, RRH service providers, and Head Start. The school district homeless liaisons and Head Start are also voting members of the CoC and participate in CoC meetings.

New Strategies in 2015

In order to improve upon the current procedures the CoC Assistant Planner:

- Will provide ongoing training to 211 staff and volunteers about the educational services available for homeless children and youth;
- Will task the CSS Subcommittee to address the educational needs of children and youth as they work together to place individuals and families into shelter and housing.;
- Will provide materials to every CoC funded and non-funded service provider to distribute to families; and
- Will ensure that school district homeless liaisons are trained on an annual basis of the services available through the CoC funded and non-funded programs.

## Maintaining Family Unity Policy

The CoC is committed to maintaining family unity when homeless households with children under the age of 18 enter homeless shelters, transitional housing or permanent supportive housing. The CoC recognizes the HUD requirement that projects that receive funding under the CoC and ESG Programs may not deny admission or separate any family members from other members of their family based on age, sex or gender when entering shelter or housing.

Therefore, it is the policy of the CoC to require that CoC and ESG Programs develop and implement policies and procedures which show that the funded program will comply with this directive within three months of the adoption of

this policy. The CoC has surveyed shelter and housing service providers in the region regarding their current policies and procedures. CoC Project Support Subcommittee and staff will work with service providers and assist them if needed to revise their policies and procedures. This assurance will be included in the annual monitoring of CoC and ESG funded projects.

As of April 2014 all CoC and ESG programs met this standard. This standard was reviewed and assessed at each project monitoring in the spring and summer of 2015 and will be reviewed with project staff at each annual monitoring visit going forward.

By January 31, 2016 the CoC will develop and implement a process by which families will be notified of this policy and will be advised to call 211 to advise the CoC when they are involuntarily separated.

## Monitoring

Two members of the CoC staff (planning assistant, administrative assistant and/or coordinated intake coordinator) and if needed, a CoC leadership member, shall make a semi-annual visit to CoC funded projects. In order to avoid conflicts of interest, the staff or leadership member conducting the visit shall not be a staff member of the agency participating in the project monitoring visit.

The Site/Monitoring Visit will consist of the following activities/components:

1. Tour units/facility, if applicable. Site/unit visits are conducted to evaluate the physical adequacy of the housing provided.
2. Review and discuss most recently submitted APR, including goals and progress.
3. Review random sample of program files: comprehensive file review will be completed on at least one file, with other files reviewed if necessary.
4. Review results of client satisfaction survey and/or conduct client interviews. Arrangements for client interview will be made in advance of the visit.
5. Complete an organizational assessment checklist to verify general agency information and compliance.
6. Identify technical assistance needs (from Continuum of Care or other source).

In addition to an annual Site Visit, the CoC planning assistant will conduct desk monitoring reviews of agency audits, drawdown requests, APRs and other documentation as necessary for the prioritization process and response to the NOFA.

After the site/monitoring visit, a written summary of the visit will be provided to the grantee. The grantee will then have fourteen (14) days to respond in writing to the visit summary report. The Executive Committee will review the summary and any written responses from the grantee.

If, based on project performance and the grantee's written explanation, the Executive Committee has no further response or performance recommendations, the Site/Monitoring Visit Summary and the grantee's written response(s) will be presented to the Review Subcommittee on an informational basis.

If, based on project performance and the grantee's written explanation, the Executive Committee has continued performance concerns, the Executive Committee will draft recommendations to address identified concerns, which will be presented to the Review Subcommittee. The Executive Committee's recommendations to the Review Subcommittee will be accompanied by the Site/Monitoring Visit Summary and the grantee's written response(s). All recommendations approved by the Review Subcommittee will be signed by the Subcommittee Chair and provided in writing to the grantee. Timelines for corrections and follow-up visits are anticipated to be sixty (60) days or less, but will be defined on a case-by-case basis in the approved recommendations.

The process of Follow-up Visits, summaries, and reports to the Review Subcommittee will follow the same the process as the initial Site/Monitoring Visit. However, follow-up Visits will specifically address grantee's fulfillment of the recommendations of the Review Subcommittee.

## ESG Recipient Monitoring

The Continuum of Care will work with ESG funders at the State, and City level to coordinate the monitoring of outcomes of recipients of ESG funding. Grantee activities will be monitored to assure compliance with applicable Federal requirements and to determine whether or not performance goals are being achieved. The Continuum of Care will work with the State, and City ESG funders to develop the performance standards and evaluate outcomes of ESG-funded projects.

## Outreach Methodology

The Mountainland Continuum of Care is committed to outreach to people experiencing homelessness. A key ingredient to this outreach is the ability to connect the homeless population to housing and services. CoC funded programs and CoC non-funded programs understand that many people living on the streets exhibit mental illness, substance addiction, and other negative behavior patterns. They also understand that it is essential to design outreach activities that take into account the needs and characteristics of different subpopulations including persons with mental illness, youth, families with children, veterans, minorities, persons dealing with substance abuse, persons with physical disabilities, and others.

The CoC is committed to ensuring awareness of and access to housing and supportive services to persons that may benefit from CoC funded programs including those persons who are not currently participating in a CoC funded or other program and/or who are least likely to request housing or services. Therefore it is the policy of the CoC to carry out the following outreach and awareness activities:

1. Direct street outreach
2. 211 – phone and internet available in English and Spanish with translation available in other languages
3. Marketing of housing and support services in locations that may be frequented by persons who are homeless (i.e. libraries, laundromats, city recreational facilities, box stores, soup kitchen, food pantries, hospital emergency rooms, health clinics, etc.) in both English and Spanish
4. 211/coordinated intake and assessment information shared with targeted groups who may interact with persons who are homeless (e.g. churches, law enforcement, victim advocates, health clinics, hospital social workers and emergency room staff, school district homeless liaisons and school counselors, city parks and recreation staff, businesses in areas frequented by persons who are homeless, downtown business alliance, and others.

## Prioritizing Veterans' Services

Recognized as a prioritized population both locally and nationally, the Mountainland Continuum of Care networks with CoC and non-CoC agencies and non-profit organizations to help service homeless veterans. There are a number of efforts instigated by Continuum leaders to help target and service this population.

First, the Continuum of Care assesses veterans' status through coordinated intake screenings. If affirmed by the client verbally, and if official paperwork is presented (a DD-214 or a VA Medical Card), case managers should ask clients if they have sought assistance through the VA or other veteran's homeless groups. If not, case managers should attempt to contact the Homeless Veterans' Fellowship ((801) 689-1516; 801-821-3008), an agency that offers statewide homeless assistance to veterans and their families if they have been enrolled in active duty at least one day. This agency is able to provide specialized benefits for veterans, including rapid re-housing services and SSVF services that include homeless prevention for families. This agency is very involved in the Continuum and assigns a case manager to participate in the Coordinated Support Services subcommittee every two weeks.

If the client does not know where to locate their documentation, the case manager should attempt to contact our regional local VA contact, Gary Stearman, at 801-326-2372 to help affirm status and benefits. Only the client can

request this information and can give permission to have their DD-214 sent in the mail to a home address or agency. If the VA is unavailable, the client can fill out a VA release of information to allow the Homeless Veterans' Fellowship to assist them in this process. However, if no veteran's documentation can be found through either of these entities, the client will be referred back to general housing services and prioritized by their VI-SPDAT and SPDAT scores.

Additionally, the Continuum educates local volunteer groups about available housing resources for veterans in a homeless situation. Entities include the local Vet Center, a veterans' case manager at the local Department of Workforce Services agency, American Red Cross volunteers, and other community members associated with the Utah Department of Veteran's and Military Affairs. Continuum representatives meet with local veterans volunteer groups once a month to offer support, information, and updates.

## Safety and Privacy of Domestic Violence Survivors Assurances

It is the policy of the CoC to collaborate with service providers to ensure the safety and privacy of domestic violence survivors that are served in any CoC or ESG Program-funded project. The CoC Project Support Subcommittee and staff will seek assistance from the DV shelter programs in the region to provide guidance and training to other service providers to meet this assurance. The types of policies and procedures include: confidentiality, workplace violence and safety, safe living environment, etc. This assurance will be included in the annual monitoring of CoC and ESG funded projects.

## List of Acronyms

AHAR	Annual Homeless Assessment Report
APR	Annual Performance Report
ARA	Annual Renewal Amount
ARD	Annual Renewal Demand
ARRA	American Recovery and Reinvestment Act
BOS	Balance of State CoC
CAP	Community Action Program
CH	Chronically Homeless
CoC	Continuum of Care
CDBG	Community Development Block Grant
DWS	Department of Workforce Services
DUNS #	Data Universal Numbering System
ESG	Emergency Shelter Grant (Federal)
eSnaps	Online Application and Grants Management System for HUD's Homeless Programs
FMR	Fair Market Rent
FPRN	Final Pro Rata Need
GIW	Grant Inventory Worksheet
HDX	Homeless Data Exchange
HEARTH Act	Homeless Emergency Assistance and Rapid Transition to Housing Act of 2009
HMIS	Homeless Management Information System
HHN	Hold Harmless Need
HPRP	Homeless Prevention Rapid Re-Housing
HUD HRE	HUD Homeless Resource Exchange
HUD	Department of Housing and Urban Development (Federal)
LRP	Long-Range Planning Committee
NOFA	Notice of Funding Availability
NSP	Neighborhood Stabilization Program



PH	Permanent Housing
PIT	Point-In-Time (annual count of homeless persons)
PPRN	Preliminary Pro Rata Need
PRA	Project-based rental assistance
PSH	Permanent Supportive Housing
RFP	Request for Proposals
RHASP	Rural Homeless Assistance and Stability Program
SCSO	State Community Services Office
SH	Safe Haven
SHP	Supportive Housing Program
S+C	Shelter plus Care Program
SRA	Sponsor-based Rental Assistance
SRO	Single Room Occupancy
SSO	Supportive Services Only
TH	Transitional Housing
TRA	Tenant-based Rental Assistance
VASH	Veteran's Affairs Supportive Housing

**Mountainland Continuum of Care  
MONITORING AND ORGANIZATIONAL ASSESSMENT OF CoC & ESG FUNDED PROGRAMS**

**Purpose:**

- To monitor Grantee activities to assure compliance with applicable Federal requirements and to determine whether or not performance goals are being achieved. Monitoring will also be used to identify possible issues that would affect an agency's capacity in meeting the contracting requirements of a CoC and/or ESG award.
- To assist grant reviewers with additional information in assessing and rating an agency's managerial and program capacity.

*Please answer the following questions and provide details where required:*

**Section I: GENERAL AGENCY INFORMATION**

Agency Name: \_\_\_\_\_

1. How long has the agency been operating?

When did agency first receive its 501 (c) 3 status (if applicable)?

2. Has the agency ever received a grant from Mountainland CoC? YES NO

If yes identify what grants were received, when, and for how much?

3. Does the agency have any full and/or part-time PAID staff members? YES NO

If YES how many? Full time \_\_\_\_\_ Part time \_\_\_\_\_



4. In the last twelve months, have there been any changes in key agency staff or program staff? (Include key non-paid staff). YES NO

If so, please explain:

5. Has the agency received a negative finding in a fair housing complaint, or any other similar action?

If so, please explain:

6. Has the agency ever been fined or otherwise penalized by a taxing agency?

If so, please explain:

7. Other than discussed above, does the agency or its management have any history of complaints resulting in legal or other formal action?

If so, please explain:

## Section II. MINIMUM QUALIFICATIONS

1. You must operate the CoC funded project within Utah, Wasatch, and/or Summit Counties. Location of services: \_\_\_\_\_
2. The agency or its management cannot apply if they are currently prohibited from receiving government funding, as a result of a debarment.
3. Agency must be currently registered with the Utah State Department of Commerce.
4. If a Non-Profit, must have evidence of 501 c3 status from the IRS.

## Section III. COMPLIANCE ISSUES

Grant Recipients must be able to comply with the following program requirements.

1. Agency must have or obtain a federal DUNS number to facilitate federal tracking of grant expenditures.
2. If your agency serves clients outside of Utah, Wasatch, or Summit Counties, how will the program ensure that CoC grant funds and required matching funds will only serve residents of these counties?
3. Agency must be able to expend the grant funds and matching funds for eligible activities within a 12 month period. Review documentation of matching funds and in-kind.
4. Additional Program Specific Compliance Requirements for CoC funded projects  
Please check the box to indicate which requirements your agency meets:
  - Eligible Objectives and Activities:** Must meet one of the CoC HUD program's goals and be an eligible activity.
  - Eligible Geographic Area:** Use funds to serve people living in Utah, Wasatch, and/or Summit Counties.

- Project Meets Homeless Definition:** Activities must serve homeless persons as defined by HUD.
- Licenses and Certification:** Grant Recipients must have all required licenses and certification required by State law.
- Employee Status Verification System:** Agency must use this system for all new hire employees.
- Conflict of Interest Policy:** Grant recipients must have a policy stating there are not any conflicts of interest within the organization.
- Communication Policy:** no grant requirement but a good administrative practice.
- Language Assistance Plan:** no grant requirement but a good administrative practice. Grant Recipients are encouraged to have a Language Assistance Plan.
- Nondiscrimination Policy:** All Grant Recipients must have a Non-Discrimination Policy.
- Procurement Policy:** Grant Recipients are required to have a written procurement policy.
- HMIS Policy and Participation:** Have procedures in place to collect and report data in Utah HMIS unless exempt by federal law.
- Eligibility Record Keeping:** All Grant Recipients are required to keep adequate program participant records/files to prove eligibility for services. Monitor will do a comprehensive review of a minimum of one case file.
- DUNS #:** Have or obtain a federal DUNS number to facilitate federal tracking of grant expenditures.
- Board Requirements:** nonprofit agency should have an active engaged Board.
- Education Assurance:** project meets educational assurance for carrying out activities that ensure families have access to McKinney-Vento services for homeless youth and children.
- Family Unity Assurance:** project ensures that family unity is maintained in homeless shelters or housing.
- Safety and Privacy of Domestic Violence Survivors Assurance:** project has policies and practices in place to ensure the safety and privacy of domestic violence survivors.

**Section IV: SPECIFIC FISCAL & ORGANIZATIONAL CAPACITY QUESTIONS**

1. Have any of the current agency or program staff had experience in managing government grant funds? YES NO  
If YES, provide additional detail below
  - Name of staff person (s) :
  - Type of Government funds (give examples)
  - Source of funding: (State, Federal, County, City)

2. Measuring project progress. Has the project met projected goals? If not, please explain.
3. How does agency keep track of its revenues and expenses? What financial accounting method is used by the agency? (List options check all that apply)

Handwritten Ledger	Accrual method
Excel Spreadsheet	QuickBooks Accounting Program
Quicken Accounting program	Other: _____

4. Does the agency have a chart of accounts to differentiate between revenue/expense resources:  
YES NO
5. How often does the agency drawdown funds through LOCCS?

6. Does the agency have written policies and procedures on how agency funds are to be handled?  
YES NO
7. Has agency ever had a formal independent audit of its books? YES NO
- If YES, who did the audit and when was it completed?
- If NO, what steps are taken to review financial records?
8. Is the agency currently under corrective action from a previous audit finding?  
YES NO  
If so, please explain:
9. Is the agency currently under corrective action from a previous HUD monitoring finding or concern?  
YES NO  
If so, please explain:
10. If the agency has paid employees, does the agency currently have Worker's Compensation Insurance? YES NO
- If not, please explain.
11. Does the agency currently have a liability insurance policy? YES NO
- If yes, who is the insurance company?  
If not, please explain.
12. Agency's Board of Directors:
- How often does the board meet?
  - When was the last board meeting held and were written minutes kept of this meeting?
  - Does the board have a written set of by-laws governing its operation?
  - For CoC or ESG, does the agency have the appropriate representation by a homeless or formerly homeless individual on the Board or in a decision making role?

## MEMORANDUM OF UNDERSTANDING

This Memorandum of Understanding (MOU) is entered into by member agencies of the Mountainland Continuum of Care, Mountainland Head Start, and United Way's Help Me Grow program.

The Mountainland Continuum of Care is a federal program that includes member agencies that provide housing services for homeless individuals and families. The ultimate goal and purpose of the Mountainland Continuum of Care is to end and prevent homelessness in Utah, Wasatch, and Summit Counties. Member agencies that serve families with children include Community Action Services and Food Bank and the Center for Women and Children in Crisis.

Mountainland Head Start provides free early childhood education to children ages 3-5 with families that fall below the national poverty line. The mission of Head Start is to promote school readiness for children and self-sufficiency for families through quality comprehensive services and community partnerships. They offer services in Utah, Juab, and Wasatch Counties.

United Way's Help Me Grow Program provides free early child development assessment and mentoring through a resource call center or online service. Families of all incomes are welcome to participate in this program. This program serves families throughout central and southern Utah.

### **A. Purpose.**

The purpose of this MOU is to ensure that children who belong to families with unstable housing conditions receive adequate child development services, with an aim to rapidly stabilize the family housing situation. Both housing and child development agencies can ensure that children who fall into these criteria are receiving both stable housing and adequate early childhood education services.

### **B. Roles and Responsibilities.**

Mountainland Continuum of Care agencies agree to:

- Advertise early education programs at agency entry points (e.g., foyers, waiting rooms, etc.) and in case management appointments. This includes Head Start enrollment fliers/posters, Help Me Grow fliers/posters, and other applicable handouts.
- Evaluate family size and dependents at intake. Case managers will refer families to enroll children ages 3-8 to Head Start (3-5) and/or Help Me Grow (infant-8) programs.
- When referrals are received for rental assistance, Community Action Services and Food Bank will attempt to either prevent eviction or rehouse the family within 30 days of intake.

Mountainland Head Start family services staff agree to:

- Be trained in housing resources offered through the Continuum through formal training or by reviewing resources online at [mountainlandcoc.org](http://mountainlandcoc.org).
- Refer families to housing resources when families report that they are in an unstable housing situation. Unstable housing conditions include: living in places not meant for human habitation, anticipation of an eviction from a landlord within two weeks, or attempting to flee domestic violence. Families who could benefit from Section 8 assistance should also be referred to local housing authorities.

Help Me Grow Staff agree to:



- Refer (or transfer) families who self-report unstable housing to the 2-1-1 resource line. 2-1-1 staff will communicate housing resources to clients that best fit their situation.

**C. Funding/Benefits.**

No direct funding resources will be awarded to programs who agree to this MOU. Benefits include increasing families' self-sufficiency and providing more stable environments for young children. Children needing housing resources will also benefit from having access to child development resources.

**D. Timeframe**

This MOU will commence on September 9<sup>th</sup>, 2016 and will be reviewed annually in preparation for HUD's SuperNOFA competition.

**E. Confidentiality**

In order to ensure the safety of clients, all parties to the memorandum of understanding agree to adhere to the confidentiality expectations as outlined in VAWA (when domestic violence cases are involved) and HIPPA statements (Head Start clients). Client information may only be shared in compliance with these statements and client consent. Client information may only be shared with the least information possible in order to connect clients to resources. The designated lead agency (Community Action Services and Food Bank) accepts full responsibility for the performance of the collaborative organizations/agencies.

**F. Signatories**

This Memorandum of Understanding is the complete agreement between the Mountainland Continuum of Care and United Way of Utah County and Mountainland Head Start and may be amended only by written agreement signed by each of the parties involved.

**Mountainland Continuum of Care (Community Action Services and Food Bank)**

Authorized Official:	<u>Myla Dutton Exec. Dir.</u>	<u>Myla J. Dutton</u>
Printed Name and Title		Signature
Address:	<u>815 So. Fremont Blvd., Suite 100, Provo, UT 84601</u>	
Telephone(s):	<u>801.691.5250</u>	
E-Mail Address:	<u>mcdutton@communityactionuc.org</u>	

**Mountainland Continuum of Care (Center for Women and Children in Crisis)**

Authorized Official:	<u>transitional housing / Bailey Call aftercare coordinator</u>	<u>[Signature]</u>
Printed Name and Title		Signature

**United Way of Utah County (Help Me Grow)**

Authorized Official:

Barbara Leavitt, Director-HMGI  
Printed Name and Title

Barbara J Leavitt  
Signature

9/12/2016

**Mountainland Head Start**

Authorized Official:

Sonia L Pineda, Executive Director  
Printed Name and Title

[Signature]  
Signature

UTAH HOMELESS  
MANAGEMENT  
INFORMATION  
SYSTEM

# Standard Operating Policies & Procedures

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**DEPARTMENT OF WORKFORCE SERVICES**

1385 South State Street, 4<sup>th</sup> Floor  
Salt Lake City, UT 84115

September, 2014

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## SOP INFORMATION

VERSION UPDATES		
DATE OF UPDATE	DATE OF APPROVAL	CHANGES MADE
FEBRUARY 2009	8.24.2009	
AUGUST 2011	8.8.2011 (MTLAND) 8.18.2011 (SLC) 10.18.2011 (BOS)	UPDATED TO CLIENTTRACK SYSTEM, FORMS UPDATED
MAY 2013	07.17.2013 (STEERING COMMITTEE)	CONTACT INFORMATION; REPLACED APPENDICES H & I WITH NEW STEERING COMMITTEE BY-LAWS AND CoC MOU; INCLUDED NEW POLICIES FOR TECHNICAL ASSISTANCE AND TRAINING, MONITORING AND COMPLIANCE, AND DATA ENTRY
DECEMBER 2013	DATE REVIEWED BY: STEERING COMMITTEE: __1/22/14__  DATE APPROVED BY CoC EXECUTIVE COMMITTEE: MTLAND: __1/2014__ SLC: __1/2014__ BOS: __1/2014__	VERSION UPDATE SECTION REVISED; CONTACT INFORMATION; CHAPTER 4 MODIFIED TO INCLUDE DATA SECURITY PLAN, PRIVACY PLAN; CHAPTER 6 MODIFIED TO INCLUDE TRAINING DETAIL, AND END-USER ACTIVATION AND DE-ACTIVATION POLICY; CHAPTER 8 MODIFIED TO INCLUDE BEST PRACTICES DATA ENTRY PLAN, DATA QUALITY PLAN; REPLACED APPENDICES C AND J WITH UPDATED PRIVACY POSTING AND MONITORING TOOLS
SEPTEMBER 2014	DATE APPROVED BY STEERING COMMITTEE: 9/3/2014	UHMIS PRIVACY POLICY; UHMIS PRIVACY POSTING AND UHMIS INFORMED CONSENT RELEASE FORM



### CONTACT INFORMATION

#### Utah HMIS

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UHMIS Contact Information		
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Jayme Day	Research Analyst	<a href="mailto:jday@utah.gov">jday@utah.gov</a>
Alex Hartvigsen	Intern	<a href="mailto:alexhartvigsen@utah.gov">alexhartvigsen@utah.gov</a>

#### UHMIS Website

<http://utahhmis.org/>

#### ClientTrack Training Website

[http://www.clienttrack.net/uhmis\\_train/](http://www.clienttrack.net/uhmis_train/)

#### ClientTrack Production Website

<http://www.clienttrack.net/utahhmis>

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## 1. INTRODUCTION AND PROJECT OVERVIEW

This document is the Utah Homelessness Management Information System standard operating policies and procedures manual (SOP) which provides standard policies and procedures for Homeless Management Information System (HMIS) implementation for the agency managing the Utah HMIS (known as the UHMIS Lead or Lead Agency), Continuum of Care and Contributing HMIS Organizations (CHOs). It also provides the framework for the ongoing operations of UHMIS. This introduction provides an overview of the main objectives, direction and benefits of UHMIS. In subsequent sections, this document addresses HMIS participation by CHOs, Client informed consent rights, data security policies, monitoring and compliance, training assistance, and data entry guidelines. This document also includes several forms employed in UHMIS implementation and use as appendices. Operating Procedures provide specific policies and steps necessary to control the operational environment and enforce compliance in:

- **Data Security**
- **Data Coverage**
- **Operational Compliance across multiple grant requirements**

In 2001, Congress delegated the [U.S. Department of Housing and Urban Development \(HUD\)](#) to lead communities to develop an unduplicated count of the homeless.

To meet this goal, HUD required federally funded public and nonprofit organizations to implement a homeless tracking system. Out of this directive came the [Homeless Management Information System \(HMIS\)](#), a computerized data collection application that facilitates the collection of information on homeless individuals and families using residential or other homeless assistance service agencies, and stores that data in a centralized database for analysis.

One explicit goal of developing HMIS is to gain a clearer understanding of the prevalence of homelessness and to track client service needs over time. We also aim to understand the complexities of needs of those who experience homelessness, and can better plan for a more responsive system of homeless service provision.

UHMIS is staffed at the State Community Services Office (SCSO) which is responsible for the administration and technical assistance of UHMIS software to the UHMIS CHOs and end-users.

### Benefits of UHMIS

Described below are the overall benefits of the UHMIS, but not limited to:

- Streamline Reporting on all levels (Agency, Continuum, and State).
- Assist in the Coordination of Services and Programs within various communities.
- Ensure data quality and integrity.
- Meet compliance requirements of various funding sources.
- Provide outcome information of programs and services.
- Preparation of HUD required reports including agency-level Annual Performance Reports (APR), Annual Homelessness Assessment Report (AHAR), data compilation for the Notice of Funding Availability (NOFA), etc.<sup>1</sup>

## 2. HMIS PARTICIPATION

In order to participate in UHMIS, all CHOs must provide an **Agency Partner Agreement** (Appendix A) and a Data Sharing Memorandum of Understanding (MOU) (Appendix B). In addition, participating CHO personnel must receive training by the lead agency and sign an **End-User Agreement** (Appendix C). Training by the lead agency is addressed in section five. Independent researchers or research agencies requesting access to UHMIS must provide a completed Research Access Agreement (Appendix D).

### 3. UHMIS PRIVACY POLICY AND DATA SHARING POLICY

This agency is part of the Utah Homeless Management Information System (UHMIS). UHMIS is a system that uses computers to collect information about homelessness. The reason for UHMIS is to track funding for homeless programs given by many funders. The goal is to simplify service delivery to people in need.

UHMIS operates over the internet and uses many security protections to keep client information safe. Many service providers across Utah use UHMIS, so client information will be shared with other service providers that provide similar services. This is done to provide services to clients in the best way possible.

Information collected is housed in a secure server located at Data System International (DSI), in Sandy, Utah. DSI employees have access to this server and the data housed there, but only for network support and maintenance purposes. UHMIS staff and approved Utah State Community Services Office (SCSO) staff collect and use only information that is needed for reports on homelessness to help inform policy decisions. Every person with access to this information must sign and comply with all confidentiality agreements.

Client consent is required for your information to be entered into HMIS. Utah HMIS has a tiered approach to client consent.

Tier I minimum standard: Emergency Shelters, Street Outreach and Coordinated Quick Assessment Projects:

- Projects must post the UHMIS privacy posting in an area easily accessible to clients. If the client is being served over the phone, the agency will read the statement to the client found in the UHMIS Privacy Posting.

Tier II minimum standard: All other projects

- Projects must post the UHMIS Privacy Posting and gather a signed UHMIS Informed Consent Release form from their clients. For clients participating in these programs this form must be gathered before their information is entered into UHMIS.

This tiered approach to gathering client consent is consistent with regulations set forth by HUD, please see: Federal Register/ Vol. 69, No. 146 / Friday, July 30, 2004 / Notices.

Clients may cancel their consent to share their information at any given time by written request to this agency. The cancellation will not be applied to records already collected from the client. If clients choose to not give consent, it does not make the client ineligible to receive services unless the client is applying for the Homeless Prevention and Rapid Re-housing Funding thru ESG, SSVF, TANF.

#### What Data Are We Sharing

Shared between and editable by all participating organizations:

- Client Intake record: Name, Birth date, Social Security Number, Gender, Race, Ethnicity
- Family and Contact Information: Family Name, Family Relationships, Family Address,
- Client Photo

Shared between all participating organizations:

- Program Enrollments: Case Name, Entry Date, Exit Date, Program Name, User Name, Program Type, Organization Name
- General Client assessment data: income, general health, education, etc.

Limited to the organization that created the record:

- Sensitive client data, such as: Case Notes, HIV/AIDS Barrier, Mental Illness, Domestic Violence assessment, alcohol abuse and substance abuse assessment

#### How We May Use and Disclose Client Information

We only collect information that is needed for 1) case management, 2) administrative, 3) billing and disclosures, 4) analytical, 5) other purposes as permitted by the client or required by law. We do not use or reveal client information

without client written consent, except in certain situations. These situations are when required by our funders or by law, or for specific administrative or research purposes. These specific purposes are outlined in our policy.

- **Case Management:** Agencies may use or give client information for case management purposes to help match services. Unless a client requests that his/her record remain hidden, personal identifiers will only be given to HMIS participating agencies. Agencies may only give client information with written client consent or other specific waiver.
- **Administrative Uses:** Agencies may use client information to carry out administrative functions internally including but not limited to report, checks, oversight, and management functions. Client information is stored on a central statewide database. Client information will be given for system administration purposes by the Lead Agency or contractors who administer the central database.
- **Billing Use:** Agencies may use client information for functions related to payment or reimbursement for services if required by the funder/billing agency.
- **Analytical Use:** Agencies may use client information for internal analysis including but not limited to evaluating program effectiveness, creating an unduplicated database on clients served within the system, understanding needs and trends in homelessness, and assessing Utah's Plan to End Homelessness. Information that could be used to identify the client will never be included in these reports.
- **Required by Law:** Agencies may give client personal information that meets the minimum standard necessary for the immediate purpose to comply with legal requirements. Agencies may only give client information to law enforcement entities in response to appropriate legal requests including subpoena or court order.
- **Other:** Agencies may give client information to an agency authorized by law to receive reports of abuse, neglect, or domestic violence if this agency believes the clients are the victim of such treatment on the circumstance that 1) the disclosure is required by law, 2) the client agrees to this disclosure, 3) this agency believes the disclosure is necessary to prevent serious harm. An agency may give client information if it believes it is necessary to prevent or lessen a serious or imminent threat to the health and safety of an individual or public, and if that information is given to a person reasonably able to prevent or reduce that threat.

Client records are maintained on the HMIS system for a period of seven years from its last modification date after which, personally identified information is removed and the remaining information is stored in a de-identified format. If clients have any questions about the use of their personal information or are concerned about client privacy or safety, they should share their questions or concerns with staff. If a client feels that the security or integrity of their information has been violated by an end-user or agency itself, CHOs are required to provide a client with a Grievance Filing Form (Appendix G) and submit it to the lead agency. The lead agency will investigate each grievance and submit suggested actions to the CHO within 30 days.

Clients that submit a grievance filing form will not be retaliated against for filing a complaint. You may also ask for a copy and/or an explanation of the privacy policy.

### Client Rights

- Clients have the right to get services even if they choose **NOT** to participate in the UHMIS.
- Clients have the right to ask who has seen their information.
- Clients have the right to see their information and to change it if it's not correct. Clients must show documentation to do so.

A list of participating agencies is available from their case manager or online at <http://hmis.utah.gov>. If clients don't want their information shared with a specific agency, need to let their case manager or intake worker know. He/she can then take the proper action to honor their request.

### Changes to This Policy

Changes to our privacy practices and the terms of this Policy may apply to all client information in HMIS. We reserve the right to change our privacy practices and the terms of this Policy at any time, including protected personal information created or received before we made the changes, provided such changes are permitted by applicable law. Before we make

a significant change in our privacy practices, we will change this Policy. A copy of the revised Policy will be posted at our location and on our website, and available upon request.

We are required by applicable federal and state law to maintain the privacy of clients' personal information. We are required to provide this Policy of our privacy practices, legal duties, and clients' rights concerning their protected personal information. We must follow the privacy practices that are described in this Policy while it is in effect. This Policy takes effect immediately, and will remain in effect until we replace it.

## 4. DATA SECURITY POLICIES AND PROCEDURES

In accordance with 2010 HUD data security guidelines, this section reviews the UHMIS Privacy Plan, including physical and technical safeguard, and data disposal policies. It also outlines the UHMIS Data Security Plan with guidelines for administrative responsibilities to protect data security, and reporting data security breaches. These policies are designed to secure Personal Protected Information (PPI) that allows identification of an individual directly or indirectly, can be manipulated by a reasonably foreseeable method to identify a specific individual, or can be linked with other available information to identify a specific individual.

### 4.A. Utah HMIS Privacy Plan

#### 4.A.1 Physical Safeguards

- a. The HMIS lead agency and CHOs will take all reasonable, foreseeable and protective actions to physically secure the PPI of clients. These actions are listed below but do not represent an exhaustive list of physical safeguards.
  - i. To secure protected personal information when transmitting written communication about clients, all users will use the ClientID to refer to the client.
  - ii. Hard copies of client information or reports with protected personal information will be kept in a locked cabinet or storage area when unattended.
  - iii. Loose papers or notes with client information not stored in the clients file will be securely destroyed.
  - iv. The lead organization and CHOs will minimize the visibility of computer/tablet/phone screens used to limit HMIS access to unauthorized individuals.
  - v. Documents that contain passwords will be kept physically secure.
  - vi. The servers that house UHMIS information will be kept in a secured and monitored facility.

#### 4.A.2 Technical Safeguards

- a. The HMIS lead agency and CHOs will take all reasonable, foreseeable and protective actions to technically secure the protected personal information of clients. These actions are listed below but do not represent an exhaustive list of technical safeguards.
  - i. Users will change their passwords at least once annually.
  - ii. Terminals used to access HMIS will have locking screen savers and will be password protected.
  - iii. Users will not leave UHMIS open and running when terminal is unattended.
  - iv. Users will be automatically logged off after 30 or less minutes of inactivity.
  - v. Electronic Documents stored outside of a private protected local network that contain protected personal information must be password protected.
  - vi. All computers accessing HMIS must have regularly updated anti-virus software installed that automatically scans files.

#### 4.A.3 Data Disposal

- a. The HMIS Lead will annually review PPI associated with clients for data no longer in use. Client records will be maintained on the HMIS system for a period of seven years from its last modification date after which, PPI will be removed and the remaining information shall be stored in a de-identified format.

#### 4.B. Utah HMIS Security Plan

This section includes the UHMIS Security Plan implementation. Within twelve months of UHMIS SOP finalization by the Executive Committees of Utah's CoCs, all parts of the security plan will be completely implemented across all CHOs in each CoC by UHMIS. The following steps include administrative safeguards to be implemented by the lead agency and CHOs including the designation of security officers that participate in security monitoring for HUD security compliance.

##### 4.B.1 Administrative Safeguards

There will be one lead security officer designated within the HMIS lead agency. The name and contact information of the current security officer at the lead agency can be found on the Utah HMIS website (<http://hmis.utah.gov/>). The lead security officer's responsibilities are as follows:

- a. The lead security officer will provide an annual training and guidance to CHO security officers
- b. At least twice a year the lead agency will offer a security specific training for users who need to recertify their annual security training
- c. Work with the HMIS Steering Committee and CoC to develop and implement the security plan and review/update it annually
- d. Keep a current list of the names and contact information for each CHO security officers
- e. Be the primary contact for the CHO's security officer and work with them to resolve security issues
- f. Ensure that CHOs are performing background checks on their security officers
- g. Upon receipt of notification from a CHO to deactivate access for employee/volunteers that no longer need access, the lead HMIS security officer will ensure that the lead agency deactivates access within five business days.

There will be one security officer designated at each CHO. The responsibilities of this security officer are as follows :

- a. Provide name and contact information to the lead HMIS security officer
- b. Ensure that all other employees in the organization are current in their security training
- c. At least once a year the CHO security officer will conduct a review of organization practices, policies and procedures to ensure that they are in compliance with the security plan.
- d. Keep list of active users and notify HMIS when within two business days to deactivate access for employee/volunteers that no longer need access

Both the Lead and CHOs security officers are responsible for ensuring compliance with applicable security standards. CHOs will perform a background check on designated security officers and any administrative users.

Prior to being given access to HMIS all users must participate in a basic end user security training for certification in HMIS. The training will be provided by someone at the HMIS lead agency (unless authorization from Utah HMIS has been given for training to be offered within the organization) and will include information to safeguard privacy and improve data security. Contents of training is discussed in greater detail in section 6. Trainees will complete and return a copy of the UHMIS End User Agreement. The HMIS lead agency will offer the basic end user training on a regular basis and will make efforts to provide additional training as needed. All users of HMIS will need to participate in training addressing data privacy, security and data quality at least annually. The HMIS lead agency will offer annual security training at least twice a year.

##### 4.B.2 Reporting Security Incidents

A security incident is defined as the act of violating an explicit or implied security policy including but not limited to:

- a. Attempts (either failed or successful) to gain unauthorized access to a system or its data
- b. Unauthorized access to PPI due to misplaced, lost, or otherwise compromised access
- c. The unauthorized use of a system for the processing or storage of data
- d. Unwanted disruption or denial of service



- e. Changes to system hardware, firmware, or software characteristics without the owner's knowledge, instruction, or consent

If a user notices or suspects a security breach, they must immediately notify the CHO's security officer. CHO security officers should report incidents to the lead agency security officer in instances a through c above. In instances d and e, CHO security officers should conduct an internal investigation and, if needed then contact the HMIS lead security officer for further resolution. If the user and the CHO's security officer is the same person, then that person will contact the HMIS lead security officer in every case when they notice or suspect a security breach.

#### 4.B.3 Disaster Recovery Plan

In conjunction with their contract with ClientTrack, the UHMIS lead agency will follow the disaster recovery plan provided by ViaWest. This plan is available on the internet:

<https://docs.google.com/a/utah.gov/file/d/0B8h2IWCp2iVULXJpRE81V3Jqalk/edit>.

#### 4.B.4 Contracts and Other Arrangements

The HMIS Lead must retain copies of all contracts and agreements executed as part of the administration and management of HMIS. As indicated above, CHOs that wish to share client information with other agencies to better facilitate program management must have a **Data Sharing MOU** (Appendix B) in place before the UHMIS team grants access to information outside of the originating agency.

## 5. MONITORING AND COMPLIANCE

In conjunction with the Data Security Plan outlined in section four, this section delineates the duties of security officers from the lead agency and CHOs. All programs participating in the Utah HMIS will be monitored annually for data security and data security best practices according to guidance set forth by 2010 HUD data security guidelines using the Utah HMIS **Security Checklist** (see Appendix H). Monitoring will be conducted by Utah HMIS, CoC approved staff or related local or state monitors requiring HMIS data compliance. UHMIS staff will visit all participating agencies across Utah at least once annually. The purpose of the visit is to monitor data security practices and to discuss any changes to the program or staff. Utah HMIS will also collect feedback to improve the HMIS Lead Agency.

### 5.A. Annual Security Review

- 5.A.1 At least annually the HMIS lead security officer and the CHO security officers will conduct a security review. This process will include the completion of the **UHMIS Security Checklist** (Appendix H) for each CHO.
- 5.A.2 CHO's security officer responsibilities include:
  - a. Review and complete the UHMIS Security Checklist during the second quarter of each year during UHMIS participation.
  - b. Submit the completed UHMIS Security Check list to the HMIS lead security officer.
  - c. Develop plans with the lead security officer to improve or correct issues that were found using the UHMIS Security Checklist.
- 5.A.3 UHMIS lead security officer security responsibilities include:
  - a. Complete the UHMIS Security Checklist during the second quarter of each year.
  - b. Review the completed and submitted UHMIS Security Checklists from CHOs.
  - c. Make a plan with CHO security officers to improve or correct issues found using the UHMIS Security Checklist.

## 6. TRAINING AND TECHNICAL ASSISTANCE

Utah HMIS will offer regular training from their offices and offer the ability to conference into training for remote trainees. Onsite training will be offered at three certification levels: new users, administrators, and program directors. The content of trainings is outlined below including the content of the training, attendees, skills, and schedules for the different certification levels.

### 6.A. Training for End Users

#### 6.A.1. Content of the training

- a. UHMIS website
- b. Privacy of information and data security
- c. Data quality
- d. ClientTrack basics
  - i. Enrollment
  - ii. Recording a service
  - iii. During program enrollment assessments (annual assessment)
  - iv. Exiting Clients
  - v. Submitting an issue

#### 6.A.2. Who is required to attend

- a. Any one person who needs a UHMIS user account

#### 6.A.3. Tasks new users must complete in the UHMIS training environment before being given access to the UHMIS

- a. Attend the UHMIS end user training
- b. Enroll two fictitious individuals and one fictitious family in programs in the training website
- c. Record services for these people
- d. If set up in the UHMIS: HUD Competitive workgroup they need to perform during program enrollment assessment
- e. Exit these individuals
- f. Return a signed (by both the individual and the agency director) copy of the "UHMIS Ender User Agreement" to the UHMIS staff

#### 6.A.4. Schedule

- a. For new agencies/new programs
- b. Whenever possible UHMIS staff will offer to provide onsite training to new agencies. If this is not an option they will set up a time separate from other end user trainings to train the individuals at the new agencies.
- c. Regularly scheduled trainings
  - i. UHMIS will offer end-user training at least twice a month
  - ii. These will typically take place on the second and third week of every month
  - iii. In most instances these will be held in the UHMIS office building but will be made available via conference call and over the internet for those users that cannot make it to the office.
  - iv. If the regularly scheduled trainings do not meet the needs of an agency UHMIS will work with them to set a training with them.

### 6.B. Training for Reporting

#### 6.B.1. Content of the training

- a. Privacy of information and data security
- b. Data quality
- c. Canned Reports
  - i. Using filters
  - ii. Data export options
- d. The APR
  - i. Auditing data connected to performance measures
- e. Data Explorer Basic
- f. Data clouds
  - i. Linking clouds
  - ii. Using filters

#### **6.B.2. Who is required to attend**

- a. Anyone who will be pulling and reporting UHMIS data

#### **6.B.3. Schedule**

- a. Report training will be offered the last week of a month. In most instances these will be held in the UHMIS office building but will be made available via conference call and over the internet for those users that cannot make it to the office.
- b. If the regularly scheduled trainings do not meet the needs of an agency, UHMIS will work with them to set a training with them.

#### **6.B.4. Annual privacy or information, data security and data quality review**

- a. Content
  - i. Privacy of information and data security
  - ii. Data quality
- b. Who is required to attend
  - i. All UHMIS users at least once a year
- c. Schedule
  - i. These trainings will take place twice a year in the first and third quarter. There will be at least two sessions each time it is offered to give flexibility to those that need to attend. In most instances these will be held in the UHMIS office building but will be made remotely available via conference call and over the internet. If the regularly scheduled trainings do not meet the needs of an agency UHMIS will work with them to set trainings with them.

### **6.C. Training for Program Directors**

#### **6.C.1. Content of the training**

- a. Privacy of information and data security
- b. Data quality
- c. Canned Reports
  - i. Using filters
  - ii. Exporting option
  - iii. Using the export to excel data
- d. The APR
  - i. Auditing data connected to performance measures
- e. Data Explorer Basic

- f. Data clouds
  - i. Linking clouds
  - ii. Using filters

#### **6.C.2. Who is required to attend**

- a. Program directors who will be pulling and reporting UHMIS data

#### **6.C.3. Schedule**

- a. UHMIS will regularly offer data analysis and report training the last week of the month. In most instances these will be held in the UHMIS office building but will be made available via conference call and over the internet for those users that cannot make it to the office.
- b. If the regularly scheduled trainings do not meet the needs of an agency UHMIS will work with them to set a training with them.

### **6.D. Annual Privacy and Data Security Review**

#### **6.D.1. Content**

- a. Privacy of information and data security
- b. Data quality

#### **6.D.2. Who is required to attend**

- a. All UHMIS users at least once a year

#### **6.D.3. Schedule**

- a. These trainings will take place twice a year about six months apart. There will be at least two sessions each time it is offered to give flexibility to those that need to attend. In most instances these will be held in the UHMIS office building but will be made available via conference call and over the internet for those users that cannot make it to the office. If the regularly scheduled trainings do not meet the needs of an agency UHMIS will work with them to set a training with them.

### **6.E. Other Training**

#### **6.E.1. End User Groups**

- a. These trainings will be led by End User leads with support from the UHMIS staff.
  - i. End user leads are prominent UHMIS end users that come from CHOs from across the state acting in the capacity of proficient HMIS end users.
  - ii. The End User lead is a volunteer position.
- b. Content of the training
  - i. The content of the training will be set by the End User leads and can vary from meeting to meeting, but will be will relevant to data quality, data definitions, software use, case management issues, or other HMIS topics
- c. Who is required to attend
  - i. All end users from any agency are encouraged to attend
- d. Schedule
  - i. These trainings will take place quarterly as determined by End User leads.

UHMIS will work with the UHMIS Steering Committee, CHOs, UHMIS lead user groups and UHMIS end users to provide any other training as needed.

## 6.F. Technical Assistance

All issues and questions are required to be submitted through the Help feature in ClientTrack. The Help feature in ClientTrack records vital information to help resolve issues including: workgroup, screen, client information and report parameters. If the issue question requires an answer within three hours, users may call any Utah HMIS team member.

All issues will be addressed within five business days, questions will be answered within three business days and suggestions will be reviewed by the Utah HMIS team. Depending on the complexity of the issue and/or question it might take longer to resolve the issue.

## 6.G. HMIS End User Registration

End Users will be registered into HMIS after the designated training for End-Users protocols have been met. End-Users who have not entered the HMIS system for 90 days or more will be designated as “Inactive” and will automatically have their HMIS account deactivated, including the deactivation of a working password.

## 6.H. HMIS End User Inactivation

Monthly end user reports will be generated by UHMIS team members using the Organization User List report under the User & Administration Reports folder in HMIS and distributed to CoC leadership. Those agencies with personnel designated with “Inactive” status will be contacted by the lead agency for verification. Written notification of inactive users from the agency will be included the HMIS agency files. CHOs will notify the Utah HMIS team of any personnel whose employment has been terminated in order to deactivate that employee’s HMIS access. The lead agency will deactivate access within five business days.

# 7. DATA ENTRY POLICIES AND PROCEDURES

All agencies shall consistently enter or upload information into the UHMIS database with five working days of seeing the client. This is to ensure that accurate and timely data is being reported to Local, State, and Federal government entities. Data should be entered or uploaded within 24 hours where possible (see also the Agency Partner Agreement in Appendix A). All agencies should develop a client record verification/audit procedure and regular times (at least quarterly) for verifying HMIS data.

## 7.A. Utah HMIS Best Practices Data Entry Plan

- 7.A.1 Agencies need to have timely and correct data within Utah HMIS. The following section describes best practices data entry policy for each program type. **All agencies need to have quarterly data entered and corrected by the HMIS Data Pull date.** All Programs need to have a client record verification/audit procedure and timeframe for verifying HMIS data at least quarterly.

- 7.A.2 Timely data entry is explained for Permanent Supportive Housing Programs
- a. Entry enrollment data will be entered into Utah HMIS within five business days of enrollment.
  - b. Assessment will be entered into Utah HMIS within five business days of contact(s) with the client(s).
  - c. Exit enrollment will be entered into Utah HMIS within five business days of client exit out of the program. If client disappears or an agency has no contact with the client and program policy has determined that the client has left the program, the exit must be done within five business days of determining that the client(s) has exited the program.
  - d. Data Correction
    - i. Backdate entry, assessment and exit enrollments within five business days.
    - ii. Deletion must be submitted to the Utah HMIS within 30 days of the record date.
    - iii. Correcting information must be completed quarterly within the program.
- 7.A.3 Timely data entry is explained for Transitional Housing Programs
- a. Entry enrollment data will be entered into Utah HMIS within five business days of enrollment.
  - b. Assessment will be entered into Utah HMIS within five business days of contact(s) with the client(s).
  - c. Exit enrollment will be entered into Utah HMIS within five business days of client exit out of the program. If client disappears or an agency has no contact with the client and program policy has determined that the client has left the program, the exit must be done within five business days of determining that the client(s) has exited the program.
  - d. Data Correction
    - i. Backdate entry, assessment and exit enrollments within five business days.
    - ii. Deletion must be submitted to the Utah HMIS within 30 days of the record date.
    - iii. Correcting information must be completed within 30 days after the end of the current quarter.
- 7.A.4. Timely data entry is explained for Emergency Shelter Programs
- a. Entry enrollment data will be entered into Utah HMIS within ten business days of enrollment.
  - b. Assessment will be entered into Utah HMIS within ten business days of contact(s) with the client(s).
  - c. Exit enrollment will be entered into Utah HMIS within ten business days of client exit out of the program. If client disappears or an agency has no contact with the client and program policy has determined that the client has left the program, the exit must be done within five business days of determining that the client(s) has exited the program.
  - d. Data Correction
    - i. Backdate entry, assessment and exit enrollments within ten business days.
    - ii. Deletion must be submitted to the Utah HMIS within 30 days of the record date.
    - iii. Correcting information must be completed within 30 days after the end of the current quarter.
- 7.A.5. Timely data entry is explained for Rapid-Rehousing and Homeless Prevention programs
- a. Entry enrollment data will be entered into Utah HMIS within five business days of enrollment.
  - b. Assessment will be entered into Utah HMIS within five business days of contact(s) with the client(s).
  - c. Exit enrollment will be entered into Utah HMIS within five business days of client exit out of the program. If client disappears or an agency has no contact with the client and program policy has determined that the client has left the program, the exit must be done within five business days of determining that the client(s) has exited the program.
  - d. Data Correction
    - i. Backdate entry, assessment and exit enrollments within five business days.
    - ii. Deletion must be submitted to the Utah HMIS within 30 days of the record date.
    - iii. Correcting information must be completed within 30 days after the end of the current quarter.

7.A.6. Timely data entry is explained for Outreach and Services only programs

- a. Entry enrollment data will be entered into Utah HMIS within five business days of enrollment.
- b. Assessment will be entered into Utah HMIS within ten business days of contact(s) with the client(s).
- c. Exit enrollment will be entered into Utah HMIS within ten business days of client exit out of the program. If client disappears or an agency has no contact with the client and program policy has determined that the client has left the program, the exit must be done within five business days of determining that the client(s) has exited the program.
- d. Data Correction
  - i. Backdate entry, assessment and exit enrollments within ten business days.
  - ii. Deletion must be submitted to the Utah HMIS within 30 days of the record date.
  - iii. Correcting information must be completed within 30 days after the end of the current quarter.

### 7.B. Quarterly Data Quality Reports

#### 7.B.1. Data Quality Reporting Schedule

Utah HMIS will pull quarterly performance measurements on each program in CHOs. Quarterly data quality reports will be submitted by the lead agency with items identified for improvement to the CoC Steering Committee and each grantee according to the schedule below. Actions to improve data quality required by HUD guidelines will be suggested by the CoC and aided by the HMIS agency.

Quarterly Point In Time Data Collection Date	Reporting Time Period	HMIS Data Pull Date	HMIS reporting to grantees
July (last Wednesday)	May-July	August (first Wednesday)	September
October (last Wednesday)	August – October	November (first Wednesday)	December
January (last Wednesday)	November- January	February (first Wednesday)	March
April (last Wednesday)	February – April	May (first Wednesday)	June

Utah HMIS will provide each agency and grantee instructions on what reports are being pulled and how the data is compiled and analyzed at start of each contract.

#### 7.B.2 Discrepancies in Data

If at the time of quarterly reporting, agency program information is reported incorrectly the agency will submit a letter of explanation to the grantee(s) and Utah HMIS. Utah HMIS will not re-run the quarterly performance measurement reports, the report will stand as is. The CHO letter will be attached to the report.

#### 7.B.3. Request of Deletion Past the Program Policy

Starting January 2014, CHOs needing information deleted from a client record that is past the program policy date must submit an explanation letter to the Utah HMIS explaining why the agency was unable to follow the program policy. The lead agency will submit the CHO letter to the Utah HMIS Steering Committee who will be notified of the request for deletion. The agency letter will be put into the Agency file at the lead HMIS agency.

### 7.C. Utah HMIS Data Quality Plan

Utah HMIS collects a variety of data elements that change over time during a client’s homelessness. This document reviews Utah HMIS policies for Data Quality.

Data quality of Universal Data will be assessed quarterly among all Utah Continua. Data quality reports assess frequency of missing data, “Don’t Know,” and “Refused” responses by agency across each homelessness program type.

#### Universal and Program Data Standards

Data Element	Utah CoC Standards for data on all clients	HUD Standards for Missing Data (includes “Don’t Know” or “Refused”)
<b>Universal Data</b>		
Name <sup>1</sup>	100%	0%
Social Security Number (SSN) <sup>1</sup>	100%	5% or less
Date of Birth (DOB) <sup>1</sup>	100%	1% or less
Gender <sup>1</sup>	100%	1% or less
Race <sup>1</sup>	98%	5% or less
Ethnicity <sup>1</sup>	100%	1% or less
Disabling Condition	98%	5% or less
Veteran Status	98%	5% or less
Residence Prior to Program Entry	95%	10% or less
Zip Code of Last Permanent Address	95%	10% or less
Length of Stay in prior residence	95%	10% or less
Homelessness Status	100%	1% or less
Program Entry Date	100%	1% or less
Program Exit Date	100%	1% or less
<b>Program Data</b>		
Income and Sources	100%	5% or less
Non-Cash benefits	100%	5% or less
Physical Disability	98%	5% or less
Developmental Disability	98%	5% or less



Chronic Health Condition	98%	5% or less
Mental Health	98%	5% or less
Substance Abuse	98%	5% or less
Domestic Violence	90%	15% or less
Destination	95%	10% or less
Reason for leaving	95%	10% or less
<sup>1</sup> One or more of these personal identifiers may need to be collected on subsequent visits to retrieve the client record, though this information needs only to be recorded on initial program entry		

Corrections in ClientTrack should only be done when information in the system is incorrect. A new assessment should be done when information is updated. This document indicates data element quality standards as set by HUD. Data quality reporting will follow the schedule set forth in section 7.B.1.

## 8. UHMIS GOVERNANCE

The general structure, roles, and responsibilities of the invested parties and/or entities of the UHMIS lead agency are designated in Appendix I: Utah HMIS and CoC MOU. By-laws of the HMIS Steering Committee are outlined in Appendix J.

## 9. GLOSSARY OF TERMS AND USEFUL ACRONYMS

[A](#)   [B](#)   [C](#)   [D](#)   [E](#)   [F](#)   [G](#)   [H](#)   [I](#)   [J](#)   [K](#)   [L](#)   [M](#)  
[N](#)   [O](#)   [P](#)   [Q](#)   [R](#)   [S](#)   [T](#)   [U](#)   [V](#)   [W](#)   [X](#)   [Y](#)   [Z](#)

### A

**Annual Homeless Assessment Report (AHAR):** HUD’s annual report to Congress on the nature and extent of homelessness nationwide. The report details yearly homelessness counts, demographics, trends, and service usage; reports are compared and contrasted to data collected for previous years, helping to determine if homelessness is increasing or decreasing.

**Annual Performance Report (APR):** The APR is a performance based report that HUD uses to track program progress and accomplishments of HUD homeless assistance programs on an annual basis. The majority of this report is pulled from the UHMIS system and then reported to HUD in the HDX system. This report was formerly known as the Annual Progress Report.

### B

**Bed Utilization:** An indicator of whether shelter beds are occupied on a particular night or over a period of time.

C

**Contributory HMIS Organization (CHO):** An organization that operates a contributory homeless assistance program or homelessness prevention program or contributory non-homeless assistance program.

**Chronically Homeless Individual:** An unaccompanied homeless adult individual (persons 18 years or older) with a disabling condition (see definition below) who has either been continuously homeless for a year or more OR has had at least four (4) separate occasions of homelessness in the past three (3) years. To be considered chronically homeless, persons must have been sleeping in a place not meant for human habitation (e.g., living on the streets) and/or in an emergency shelter/Safe Haven during that time. Persons under the age of 18 are not counted as chronically homeless. For purposes of the PIT, persons living in transitional housing at the time of the PIT count should not be included in this subpopulation category.

**Chronically Homeless Family:** A household with at least one adult member (persons 18 or older) who has a disabling condition (see definition below) and who has either been continuously homeless for a year or more OR has had at least four (4) separate occasions of homelessness in the past three (3) years. To be considered chronically homeless, persons must have been sleeping in a place not meant for human habitation (e.g., living on the streets) and/or in an emergency shelter/Safe Haven during that time. The subpopulation count should include all members of the household. For purposes of the PIT, persons living in transitional housing at the time of the PIT count should not be included in this subpopulation category.

**Client:** A living individual about whom a Contributory HMIS Organization (CHO) collects or maintains protected personal information: (1) because the individual is receiving, has received, may receive, or has inquired about services from a CHO; or (2) in order to identify service needs, or to plan or develop appropriate services within the CoC.

**Community Development Block Grant (CDBG):** Federal HUD formula grant program providing communities with resources to address a variety of community development needs. CDBG is awarded to entitlement communities to carry out a wide range of community development activities directed toward revitalizing neighborhoods, economic development, and providing improved community facilities and services.

**Consolidated Plan:** A long-term housing and community development plan developed by state and local governments and approved by HUD (24 CFR Part 91). The Consolidated Plan contains information on homeless populations and should be coordinated with the CoC plan.

**Continuum of Care (CoC):** The primary decision making entity defined in the funding application to HUD as the official body representing a community plan to organize and deliver housing and services to meet the specific needs of people who are homeless as they move to stable housing and maximum self-sufficiency. Utah has three CoCs: Salt Lake, Mountainland and Balance of State. The Salt Lake continuum consists of the Salt Lake and Tooele Counties. The Mountainland continuum consists of Utah, Summit, and Wasatch counties. The Balance of State continuum consists of all other counties not contained in the other two continua.

**D**

**Data Recipient:** A person who obtains PPI from an HMIS Lead Agency or from a CHO for research or other purposes not directly related to the operation of the HMIS, CoC, HMIS Lead Agency, or CHO.

**Disabling Condition:** Any one of (1) a disability as defined in Section 223 of the Social Security Act; (2) a physical, mental, or emotional impairment which is (a) expected to be of long-continued and indefinite duration, (b) substantially impedes an individual's ability to live independently, and (c) of such a nature that such ability could be improved by more suitable housing conditions; (3) a developmental disability as defined in Section 102 of the Developmental Disabilities Assistance and Bill of Rights Act; (4) the disease of acquired immunodeficiency syndrome or any conditions arising from the etiological agency for acquired immunodeficiency syndrome; or (5) a diagnosable substance abuse disorder.

**E**

**Emergency Shelter (ES):** A homeless program that is intended to provide short term support and emergency housing to homeless individuals. Individuals you are in staying in an emergency shelter as still considered literally homeless. Emergency shelter may take to from of a congregate shelter, motel vouchers, or a domestic violence shelter.

**Emergency Solutions Grant (ESG):** ESG is a federal grant that is given to eligible states, cities, counties and territories. The ESG program provides funding to: (1) engage homeless individuals and families living on the street; (2) improve the number and quality of emergency shelters for homeless individuals and families; (3) help operate these shelters; (4) provide essential services to shelter residents, (5) rapidly re-house homeless individuals and families, and (6) prevent families and individuals from becoming homeless.

**End User (or User):** An employee, volunteer, affiliate, associate, and any other individual acting on behalf of a CHO or HMIS Lead Agency who uses or enters data in the HMIS or another administrative database from which data are periodically uploaded to the HMIS.

**F****G****H**

**Hashing:** The process of producing hashed values for accessing data or for security. A hashed value is a number or series of numbers generated from input data. The hash is generated by a formula in such a way that it is extremely unlikely that some other text will produce the same hash value or that data can be converted back to the original text. Hashing is often used to check whether two texts are identical. For the purposes of Homeless Management Information Systems it can be used to compare whether client records contain the same information without identifying the clients.

**Health Insurance Portability and Accountability Act of 1996 (HIPAA):** U.S. law designed to provide privacy standards to protect patients' medical records and other health information provided to health plans, doctors, hospitals, and other health care providers. Developed by the Department of Health and Human Services, these standards provide patients access to their medical records and give them more control over how their personal health information is used and disclosed.

**HMIS Lead Agency:** An organization designated by a CoC to operate the CoCs HMIS on its behalf.

**HMIS Participating Bed:** For any residential homeless program, a bed is considered a "participating HMIS bed" if the program makes a reasonable effort to record all universal data elements on all clients served in that bed and discloses that information through agreed upon means to the HMIS Lead Agency at least once annually.

**HMIS Software Solution Provider:** An organization that sells, licenses, donates, builds or otherwise supplies the HMIS user interface, application functionality and database. The HMIS software solution that has been chosen to serve all three of Utah CoC is ClientTrack.

**HMIS Vendor:** A contractor who is paid to provide services for the operation of a CoC's HMIS. An HMIS vendor includes an HMIS software solution provider, web server host, and data warehouse provider, as well as a provider of other contracted information technology or support.

**Homeless Management Information System (HMIS):** The information system designated by the CoC to process Protected Personal Information (PPI) and other data in order to create an unduplicated accounting of homelessness within the CoC. An HMIS may provide other functions beyond unduplicated accounting.

**Homelessness Prevention and Rapid Re-Housing Program (HPRP):** A program designed to assist households who would otherwise become homeless, and to quickly help re-house those who are homeless.

**Housing Inventory Chart (HIC):** The HIC is a point-in-time inventory of provider programs within your Continuum of Care that provide beds and units dedicated to serve persons who are homeless. It should reflect the number of beds and units available on the night designated for the count that are dedicated to serve persons who are homeless, per the HUD homeless definition.

**Housing Opportunities for Persons with AIDS (HOPWA):** The only Federal program dedicated to the housing needs of people living with HIV/AIDS. Under the HOPWA program, HUD makes grants to local communities, States, and nonprofit organizations for projects that benefit low-income persons medically diagnosed with HIV/AIDS.

**Housing and Urban Development (HUD):** A Federal organization aiming to increase homeownership, support community development and increase access to affordable housing free from discrimination.

## I

**Informed Consent:** A client is informed of options of participating in an HMIS system and then specifically asked to consent. The individual needs to be of age and in possession of all of his faculties (for example, not mentally ill), and his/her judgment not impaired at the time of consenting (by sleep, illness, intoxication, alcohol, drugs or other health problems, etc.).

## J

KLM

**McKinney-Vento Act:** The McKinney-Vento Homeless Assistance Act was signed into law by President Ronald Reagan on July 22, 1987. The McKinney-Vento Act funds numerous programs providing a range of services to homeless people, including the Continuum of Care programs: the Supportive Housing Program, the Shelter Plus Care Program, and the Single Room Occupancy Program, as well as the Emergency Shelter Grant Program.

N

**Neighborhood Stabilization Program (NSP):** This program was established for the purpose of stabilizing communities that have suffered from foreclosures and abandonment. NSP targets low and moderate income persons under 120% of area median income. Eligible activities include costs related to purchase and redevelopment of foreclosed and abandoned homes and residential properties. NSP grantees must use at least 25 percent of the funds appropriated for the purchase and redevelopment of abandoned or foreclosed homes or residential properties that will be used to house individuals or families whose incomes do not exceed 50 percent of the area median income.

**Notice of Funding Availability (NOFA):** includes important information on program priorities, general requirements, funding levels, and contacts for each program.

**Non-Contributory CoC Program:** A CoC Program that does not contribute PPI or other client-level data to an HMIS.

OP

**Participating CoC Program:** A Contributory CoC Program that makes reasonable efforts to record all the universal data elements and all other required data elements as determined by HUD funding requirements on all clients served and discloses these data elements through agreed upon means to the HMIS Lead Agency at least once annually.

**Performance Measures** – A process that systematically evaluates whether your program’s efforts are making an impact on the clients you are serving.

**Permanent Supportive Housing (PSH):** – Long-term, community-based housing that has supportive services for homeless persons with disabilities. This type of supportive housing enables the special needs populations to live independently as possible in a permanent setting. Permanent housing can be provided in one structure or in several structures at one site or in multiple structures at scattered sites.

**Point in Time (PIT):** – A snapshot of the homeless population taken on a given day. Since 2005, HUD requires all CoC applicants to complete this count every other year in the last week of January. This count includes a street count in addition to a count of all clients in emergency and transitional beds.

**Protected Personal Information (PPI):** Information about a client: (1) whose identity is apparent from the information or can reasonably be ascertained from the information; or (2) whose identity can, taking into account any methods reasonably likely to be used, be learned by linking the information with other available information or by otherwise manipulating the information.

**Processing:** An operation or set of operations performed on PPI, whether or not by automated means, including but not limited to collection, maintenance, use, disclosure, transmission and destruction of the PPI.

## Q

**Quarterly Performance Reports (QPR):** A reporting tool that HUD uses to track progress and accomplishments of HPRP funded programs on a quarterly basis. This report affects HPRP funding.

## R

**Rapid Re-Housing:** Housing relocation and stabilization services and short-and/or medium-term rental assistance as necessary to help individuals or families living in shelters or in places not meant for human habitation move as quickly as possible into permanent housing and achieve stability in that housing. Eligible costs also include utilities, rental application fees, security deposits, last month's rent, utility deposits and payments, moving costs, housing search and placement, housing stability case management, landlord-tenant mediation, tenant legal services, and credit repair.

## S

**Safe Haven:** A Safe Haven is a form of supportive housing that serves hard-to-reach homeless persons with severe mental illness and other debilitating behavioral conditions that are on the street and have been unable or unwilling to participate in housing or supportive services. A Safe Haven project that has the characteristics of permanent supportive housing and requires clients to sign a lease may also be classified as permanent housing when applying for HUD funds. It is expected that clients will be reengaged with treatment services as they become stabilized and learn to trust service providers.

**Shelter Plus (S+C):** A program that provides grants for rental assistance for homeless persons with disabilities through four component programs: Tenant, Sponsor, Project, and Single Room Occupancy (SRO) Rental Assistance.

**Street Outreach:** Essential Services related to reaching out to unsheltered homeless individuals and families, connecting them with emergency shelter, housing, or critical services, and providing them with urgent, non-facility-based care. Eligible costs include engagement, case management, emergency health and mental health services, and transportation.

**Supportive Services Only Program:** Supportive Services Only (SSO) projects address the service needs of homeless persons. Projects are classified as this component only if the project sponsor is not also providing housing to the same persons receiving the services. SSO projects may be in a structure or operated independently of a structure, such as street outreach or mobile vans for health care.

## T

**Temporary Assistance for Needy Families (TANF):** Money set aside to give assistance to families in danger of becoming homeless. This money can be used for such things as back rental or utility payments, deposits, rent and utilities. This money is specific for preventing homelessness.

**Transitional Housing (TH):** The transitional housing component facilitates the movement of homeless individuals and families to permanent housing. Homeless persons may live in transitional housing for up to 24 months and receive supportive services such as childcare, job training, and home furnishings that help them live more independently.

## U

**Unaccompanied Youth:** Minors not in the physical custody of a parent or guardian, including those living in inadequate housing such as shelters, cars, or on the streets. Also includes those who have been denied housing by their families and school-age unwed mothers who have no housing of their own.

**Unduplicated Accounting of Homelessness:** An unduplicated accounting of homelessness includes measuring the extent and nature of homelessness (including an unduplicated count of homeless persons), utilization of homelessness programs over time, and the effectiveness of homelessness programs.

**Unduplicated Count of Homeless Persons:** The number of people who are homeless within a specified location and time period. An unduplicated count ensures that individuals are counted only once regardless of the number of times they entered or exited the homeless system or the number of programs in which they participated. Congress directed HUD to develop a strategy for data collection on homelessness so that an unduplicated count of the homeless at the local level could be produced.

**Universal Data Element (UDE):** Data required to be collected from all clients serviced by homeless assistance programs using an HMIS. These data elements include date of birth, gender, race, ethnicity, veteran's status, and Social Security Number (SSN). These elements are needed for CoCs to understand the basic dynamics of homelessness in their community and for HUD to meet the Congressional directive to support AHAR.

## V

**Victim Service Provider:** A nonprofit or non-governmental organization including rape crisis centers, battered women's shelters, domestic violence transitional housing programs, and other programs whose primary mission is to provide services to victims of domestic violence, dating violence, sexual assault, or stalking.

## W

**Written Consent:** Written consent embodies the element of informed consent in a written form. A client completes and signs a document consenting to an understanding of the options and risks of participating or sharing data in an HMIS system. The signed document is then kept on file at the agency.

## X

Y

Z



## 10. HMIS JOB DESCRIPTIONS

### 10.A HMIS Director

1. Assist Lead Agency in the planning, coordination and management of the HMIS in the following three Task areas:
  - a. Planning, scheduling and meeting project objectives as outlined by the Agency Executive Director and CoC Steering Committee including issues related to funding, budgeting, grant writing and project reporting.
  - b. Determining guiding principles for implementation and administration of the HMIS.
  - c. Identifying and orienting Partner Agencies as participants in the HMIS.
  - d. Selecting minimum data requirements, defining criteria, standards and parameters for the release of aggregate data.
  - e. Ensuring adequate privacy protection provisions in project implementation and administration.
  - f. Planning and oversight of relevant technical infrastructure and services to implement and administer the HMIS.
  
2. Assume primary responsibilities for daily operations of the HMIS, including:
  - a. Managing contractual agreements between the three Utah CoC and Partner Agencies participating in the HMIS.
  - b. Providing technical assistance to three Utah CoC and Partner Agencies in the use of the HMIS, including on-site training and support.
  - c. Developing training procedures and materials to support use of the HMIS.
  - d. Monitoring technical aspects of system functioning, speed, and database back-up procedures of the HMIS.
  - e. Auditing access to and use of the HMIS to ensure full participation and compliance by Partner Agencies authorized to use the system.
  - f. Providing technical assistance to ensure that all Partner Agencies using the HMIS adhere to the governing principles related to its use.
  - g. Developing standard reports and queries on HMIS usage and data for interested parties.
  - h. Developing strategies to ensure that Resource information contained in the HMIS is expanded and updated regularly.
  - i. Monitoring issues related to contractual performance of the HMIS software vendor pertaining to software development, system upgrades, hosting and data protection services.
  
3. Development and Management of Resources for Implementation, Operation and/or Expansion of the HMIS, including:
  - a. Researching, interpreting and preparation of information for grant applications and other funding sources as needed.
  - b. Determination of cost estimates and budgets. Submittal of grant applications and funding proposals.
  - c. Coordination of applications and/or proposals with Agency and representatives of other public and private agencies.
  - d. Management of activities to ensure compliance with funding requirements, regulations, and policies.

### 10.B System Administrator

1. Act as the fiduciary for the local Emergency Services Grant.
2. Contracts with software vendor for local licenses, hosting fees, and training beyond that provided through HMIS project.
3. House the System Administration I position. With the support of the HMIS project assigned training staff, that person will:
  - a. Guide the HMIS process locally.

- b. Complete required trainings with regard to Privacy and System Use.
- c. Respond to questions from the assigned Agency Administrators (HMIS Lead Person at each agency) and provide on-site help as needed.
- d. Convene/coordinate Community User Meetings and local group trainings.
- e. Report database problems/successes to HMIS project committee
- f. Attend System Administration User Meetings to share and benefit from the lessons learned across the State.
- g. Mine the database for Continuum-wide numbers and report to CoC Steering and Executive Committees. The degree to which this activity occurs at a local level will be determined at the local level.

### 10.C Trainer and Technical Assistance Coordinator

1. The Training Coordinator will provide training and technical assistance through remote meeting software, web based training tools, classroom training and, as needed, site visits.
  - a. Trainings will be designed to ensure homeless service provider organizations are in compliance with US Department of Housing and Urban Development (HUD) and Utah CoC HMIS requirements.
  - b. Trainings are to support compliance with data and technical specifications, including maintenance of security, confidentiality and privacy requirements; reporting requirements; support efforts to strengthen and expand provider/community participation, improve data quality, and enhance and exploit the potential of HMIS implementations to measure program and system performance, and inform strategic planning and system change.
2. S/he will master the basic user workflow of the Utah CoC HMIS system and convey all components to users in training courses; design, develop and deliver both distance and classroom training programs and courses including materials, exercises and skills evaluation related to new policies and procedures as required by HUD or the Utah CoC; and provide user follow up after initial training, helping to ensure that agencies are capable of meeting all data quality and timeliness standards outlined by the CoC and HUD.
3. Additionally, s/he will coordinate and conduct training programs in-house and off-site, and potentially via the web; and handle all registrations and related correspondence.
4. The Coordinator will also explore new and creative ways of providing user training and support such as videos, webinars, social media, and develop such tools.
5. The HMIS Training coordinator will maintain the Utah CoC HMIS Policies & Procedures, making updates and revisions as needed; and provide training to homeless services providers on the HMIS Policies & Procedures on a regular basis.

### 10.D Research Analyst

1. Reporting to the HMIS Manager, the Data Analyst will support the development and implementation of the Homeless Management Information System in Utah. The HMIS Data Analyst will provide strategic statistical analysis to support system planning, community investment and performance management.
2. The Data Analyst will be responsible for the quantitative analysis of ESG funded programs using various reporting techniques to assess business processes and resource allocation; provide analytical supports to the Communication, Research and management teams to inform CoC business and strategic planning decisions.
3. Primary duties and responsibilities include:
  - a. Cleaning, mining and analyzing HMIS data to identify patterns and correlations among the various data elements.
  - b. Developing and generating reports/data pulls for HMIS, participating agencies, and external parties.
  - c. Conducting statistical analysis on programs performance and activity levels.
  - d. Interpreting results of the analysis in the manner understood by general public.

- e. Providing analytical supports to inform the Ten Year Plan rewrite and funding allocation.
- f. Applying both quantitative and qualitative data analysis techniques using statistical and descriptive research methodologies.
- g. Providing participating programs with assistance to build agency capacity in terms of data analysis, including on-site support.
- h. Monitoring data quality with regard to accuracy, timeliness and completeness and notifying agencies if problems arise by using data quality reports.
- i. Researching, interpreting and preparing information for community debriefing, annual meetings, community reports and grant applications as needed.
- j. Ensuring that relevant components of the Ten Year Plan to End Homelessness are integrated into the HMIS structure.
- k. Undertaking research on specific issues including responding to inquiries and answering questions from the participating agency staff.

## 11. REFERENCES

Many of the definitions included in this document are pulled from the following sources.

- HUD. (n.d.). *2013 Housing Inventory Count and Point-in-Time Count of Homeless Persons; Data Collection Guidance*. Retrieved June 21, 2013, from <https://www.onecpd.info/resources/documents/2013HICandPITGuidance.pdf>
- HUD. (n.d.). *Continuum of Care (CoC) Check-Up; Self-Assessment Glossary of Terms*. Retrieved June 21, 2013, from <https://www.onecpd.info/resources/documents/Glossary%20CoC%20Check%20Up%2011.10.11.docx>
- HUD. (n.d.). *Emergency Solutions Grant (ESG) Program Fact Sheet*. Retrieved June 21, 2013, from [http://hudhre.info/index.cfm?do=viewESG\\_SolutionsPrgm](http://hudhre.info/index.cfm?do=viewESG_SolutionsPrgm)
- HUD. (n.d.). *Glossary of HMIS Definitions and Acronyms*. Retrieved June 21, 2013, from <https://www.onecpd.info/resources/documents/GlossaryofHMISDefinitionsandAcronyms.pdf>
- HUD. (n.d.). *Supportive Housing Program Fact Sheet*. Retrieved June 21, 2013, from <http://www.hudhre.info/index.cfm?do=viewSupportiveHousingProgram#d>

## 12. APPENDICES

APPENDICES	DOCUMENT TITLE
Appendix A	Agency Partner Agreement
Appendix B	Data Sharing Memorandum of Understanding
Appendix C	End User Agreement
Appendix D	Research Access Agreement
Appendix E	Privacy Posting
Appendix F	Informed Consent Release Form
Appendix G	Grievance Filing Form
Appendix H	UHMIS Security Checklist
Appendix I	Utah HMIS and Continuum of Care Memorandum of Understanding
Appendix J	Utah HMIS Steering Committee By-Laws

## UTAH HMIS

## UTAH HOMELESS MANAGEMENT INFORMATION SYSTEM AGENCY PARTNER AGREEMENT

### I. Purpose and Policy

- A. The Agency shall uphold baseline standards, as issued by the U.S. Department of Housing and Urban Development and the desire for any related procedure or practices to be consistent with HUD standards (see [Final Revised HMIS Data Standards March 2010](#) for additional information).
  - a. The baseline standards for HMIS issued by HUD, and the desire for this privacy and any related procedure or practices to be consistent with HUD standards. (see [69 Federal Register 45888, July 2004](#) for additional information)
5. UHMIS Lead Agency operates in an “open with exception” manner to insure that necessary and appropriate referrals and coordinated case planning takes place. All records are open for sharing unless otherwise closed by the entering agency to ensure that the designed purpose and need for sharing of UHMIS information is met.
  - a. The standard sharing for all participating agencies will be to share a client’s Name, gender, partial SSN, birth date.
6. Confidential information shall be defined as any and all information relating to past or present clients, any information required by law to be kept confidential, computer codes, passwords and access information for the HMIS, and any information designated as confidential by the disclosing party.
7. Client authorization to release information shall also be established through the use of a written, signed **Informed Consent Release Form**, to be completed at the point-of-entry participant agency site and retained on file.
8. The Agency shall solicit consent from Clients to share their information across the UHMIS database. The Agency agrees not to release any confidential information received from the UHMIS database to any organization or individual without proper Client Consent.

The agency can release information for the following exceptions:

- a) When required by law and to the extent that use or disclosure complies with, and is limited to, the requirements of the law.
  - b) When a provider reasonably believes that a child or vulnerable adult is a victim of abuse and neglect and should be reported
  - c) To create unduplicated data within the UHMIS system, where only users who have signed a user agreement to maintain client privacy and protections are allowed to access disaggregated data.
  - d) To avert a serious threat to health or safety if:
    - i. The service provider believes that the use or disclosure is necessary to prevent or lessen a serious and imminent threat to the health or safety of an individual or the public.
    - ii. The use or disclosure is made to a person reasonably able to prevent or lessen the threat, including the target of the threat.
  - e) To a law enforcement official for a law enforcement purpose (if consistent with applicable law and standards for ethical conduct)
    - i. In response to a lawful court order, court ordered warrant, subpoena or summons issued by a judicial officer or a grand jury subpoena, unless otherwise restricted by law.
    - ii. If the service provider believes in good faith that the protected personal information constitutes evidence of criminal conduct that occurred on its premises.
  - f) When required for payment or reimbursement for services. Information disclosed is to be used only for payment or reimbursement for services, and remains protected by this policy.
9. Agency will ensure that the necessary users and personnel have the appropriate certifications to access the UHMIS software.
    - a. The agency will need to have at least one person certified in each certification level. This can be three different individuals that is certified in the appropriate level, or one individual who is certified in each level.

10. The Agency shall ensure that all staff, volunteers and other persons issued a User ID and password for the UHMIS receives certification training provided by the UHMIS team.
11. Partner Agencies are bound by all restrictions placed upon the data by the client of any Partner Agency. The Agency shall diligently record all restrictions requested. The Agency shall not knowingly enter false or misleading data under any circumstances.
12. If this agreement is terminated, the Utah SCSO's UHMIS Lead Agency and remaining Partner Agencies shall maintain their right to the use of all Client data previously entered by the terminating Partner Agency; this use is subject to any restrictions requested by the client.
13. Clients who choose not to authorize sharing of information cannot be denied services for which they would otherwise be eligible.
14. If a Client withdraws consent for release of information, the Agency remains responsible to ensure that the Client's information is unavailable to all other Partner Agencies.
  - i. If Agency is unsure on how to do this, they must contact UHMIS staff to inform them of the clients request and ensure that sharing rights are revoked for that client.
15. The Agency will utilize the UHMIS Data Sharing MOU, as developed in conjunction and coordination with Partner Agencies, for all clients providing information for the UHMIS database. The Client Data Sharing Consent form, once signed by the client, authorizes Client data to be shared with UHMIS Partner Agencies.
  - i. The Agency shall maintain appropriate documentation of Client consent, including but not limited to the Client Data Sharing Consent Form in the UHMIS database.
  - ii. The Agency shall keep signed copies of the Client Data Sharing Consent Form, and other client consent forms for the UHMIS for a period of seven years.

## II. Data Entry and Use

- A. The Agency shall follow, comply with and enforce the End-User Agreement & UHMIS Standard Operating Policies and Procedures within the Agency. Modification to the User Policy and Standard Operating Policies and Procedures shall be made by the UHMIS Staff with input from the Steering Committee of the three state Continua. This will be done on an as needed basis for the purpose of the smooth and efficient operation of the UHMIS system. The UHMIS Lead Agency through the Utah SCSO will announce approved modifications in a timely manner.
- B. Agencies will only use lawful and fair means by which to collect Personal Protected Information (PPI) with the knowledge or consent of the client. The Agency needs to full respect each individual's right to privacy, confidentiality, and safety.
  - i. PPI will only be collected for the purposes listed above.
  - ii. Clients will be made aware that personal information is being collected and recorded.
  - iii. Agency will post **UHMIS Privacy Posting** in locations where PPI is collected.
    - a. A copy of this written notice can be found in Appendix G of the UHMIS SOP Manual
    - b. This posting will be explained in cases where the client is unable to read and/or understand it.
  - iv. Clients must sign **Informed Consent Release Form** on file at the entering agency.
  - v. Client's PPI will not be turned over into a national database. It's important that the client's rights to their information are honored by all UHMIS participating agencies.
  - vi. PPI that is gathered needs to be accurate, complete, and relevant; and entered into the system in a timely manner.
    - c. All PPI collected will be relevant to the purposes for which it is to be used.
    - d. Identifiers will be removed from data that is not in current use after 7 years (from date of creation or last edit) unless other requirements mandate longer retention.
    - e. Data will be entered in a consistent manner by authorized users.
    - f. Data will be entered in "real-time" when possible, or within 5 to 10 business days of initial intake, contact, or provided service.
    - g. Measures will be developed to monitor data for accuracy, completeness and for the correction of errors.
    - h. Data quality is subject to routine audit by UHMIS System Administrators who have administrative responsibilities for the database.
- C. **The Agency shall consistently enter or upload information into the UHMIS database with 5 to 10 working days of seeing the client. This is to ensure that accurate and timely data is being reported to Local, State, and Federal government entities. Data should be entered or uploaded within 24 hours where possible.**

- D. The Agency shall utilize the UHMIS database for business purposes only.
- E. The UHMIS team will provide initial training and certification (including confidentiality training) and periodic updates to Agency staff on the use of UHMIS software.
  - i. Agency staff will attend all pertinent meetings with the UHMIS team and the Utah SCSO as required.
  - ii. The Agency's Program Managers should hold regular user meetings and report all pertinent information (i.e. software issues, trouble with entering or placing client, etc.) to the UHMIS Help desk.
- F. The UHMIS team will provide general technical assistance via a Help Desk and periodic site visits as deemed appropriate for the purpose of troubleshooting and report generation.
- G. The transmission of material in violation of any federal or state regulations is prohibited. This includes, but is not limited to, copyright material, material legally judged to be threatening or obscene, and material considered protected by trade secret.
- H. The Agency shall not use the UHMIS database with intent to defraud federal, state or local governments, individuals or entities, or to conduct any illegal activity.
- I. The Agency staff should fully inform clients about the limits of confidentiality in a given situation, the purposes for which the information was obtained, and how it may be used, per appropriate State and Federal guidelines.
- J. When providing a client with access to his/her UHMIS records, the Agency staff should provide either a screen visual without allowing direct access to input devices or a hard copy printout. Appropriate measures should be taken to protect the confidentiality of all other records.
- K. The Agency staff should afford clients reasonable access to any UHMIS records concerning them, in accordance with Agency internal policies and procedures.

### III. Reports

- A. The Agency shall retain ownership of identifying and statistical data on the clients it serves.
- B. The Agency's access to data on clients it does not serve shall be limited to non-identifying and statistical data without written consent.
- C. The Agency may make aggregate data available to other entities for funding or planning purposes pertaining to providing services to homeless person or persons at risk of homelessness, in accordance with the UHMIS procedures on data use and release. However, such aggregate data shall not directly identify individual clients.
- D. The Utah SCSO will use only aggregate UHMIS data for homelessness related policy and planning decisions, in preparing federal, state or local applications for homelessness and housing funding, to demonstrate the need for and effectiveness of programs and to obtain a system-wide view of program utilization in the state.
- E. The UHMIS staff may need to view data on occasion for quality assurance purposes. The UHMIS staff will follow all guidelines and restrictions on data.

### IV. Proprietary Rights of UHMIS

- A. The Agency shall not give or share assigned user identification and passwords access codes of the UHMIS database with any other Agency, business, or individual.
- B. The Agency shall not intentionally cause in any manner, or way corruption of the UHMIS database in any manner.

### V. Hold Harmless

The Utah SCSO and the UHMIS Lead Agency makes no warranties, expressed or implied. The Agency, at all times, will indemnify and hold the Utah SCSO harmless from any damages, liabilities, claims, and expenses that may be claimed against the Agency; or for injuries or damages to the Agency or another party arising from participation in UHMIS; or arising from any acts, omissions neglect, or fault of the Agency or its agents, employees, licensees, or clients; or arising from the Agency's failure to comply with laws, statutes, ordinances, or regulations applicable to it or the conduct of its business. This Agency will also hold the Utah SCSO harmless for negative repercussions resulting in the loss of data due to delays, non-deliveries, mis-deliveries, or service interruption caused by the Agency's or another Participant Agency's negligence or errors or omissions, as well as natural disasters, technological difficulties, and/or other events out of its control. The Utah SCSO shall not be liable to the Agency for damages, losses, or injuries to the Agency or another party other than if such is the result of the gross negligence or willful misconduct of the Utah SCSO.

### VI. Terms & Conditions

- A. The Agency recognizes the HMIS Steering Committee to be the discussion center regarding UHMIS, including UHMIS process updates, policy and practice guidelines, data analysis, and software/hardware upgrades. The Agency may designate an assigned UHMIS user within their agency to attend the Utah Homeless Information Committee meetings regularly, and understands that the Committee will continue to be responsible for coordinating the UHMIS activities.
- B. The Agency understands that periodic updates and/or changes to data requirements may occur based on HUD mandate, State mandate, or by the Continuum of Care. UHMIS staff will provide due notification before such changes take effect.
- C. Neither the Utah SCSO nor the Agency shall transfer or assign any rights or obligations without the written consent of the other party.

\_\_\_\_\_  
Agency

\_\_\_\_\_  
Agency Executive Director

\_\_\_\_\_  
HMIS Director

\_\_\_\_\_  
Date

\_\_\_\_\_  
Date



# UTAH HMIS

## UTAH HOMELESS MANAGEMENT INFORMATION SYSTEM DATA SHARING MEMORANDUM OF UNDERSTANDING

This Memorandum of Understanding between **(Primary Reporting/Funded Agency)** and **(list the Partner Agencies)** outlines what client level information is to be shared between these partnering agencies for the \_\_\_\_\_ Program.

It is understood between these partnering agencies that all participating clients will have to sign an interagency consent form that demonstrates that they understand and agree to have their information shared with the herein listed agencies. A hard copy of this consent form will be kept in the client’s file at **(an appointed agency)**. **(An appointed agency)** will be responsible for ensuring that this release form is tracked within the UHMIS software.

**(Primary agency)** will grant access of afore mentioned client data to the following agencies:

1. Partner Agency \_\_\_\_\_ & designated contact person \_\_\_\_\_
2. Partner Agency \_\_\_\_\_ & designated contact person \_\_\_\_\_
3. Partner Agency \_\_\_\_\_ & designated contact person \_\_\_\_\_
4. Partner Agency \_\_\_\_\_ & designated contact person \_\_\_\_\_
5. Partner Agency \_\_\_\_\_ & designated contact person \_\_\_\_\_

**Information to be shared:**

It is understood that all agencies and users will be accountable for following all security and privacy policies. The list below outlines which elements are to be viewable, but not altered, and will allow for creation of additional records, considered “Shared” or “Not Shared”. It is understood that a portion of the Universal Data Elements are shared with all UHMIS Partnering Agencies globally.

What is Shared	Not Shared	Shared
<b>CLIENT RECORDS</b>		
Name, DOB, and Partial SSN		X
<b>TRANSACTIONS</b>		
<b>Assessments:</b> Employment, Income/Non-Cash Benefits, Barriers, Education, Health <b>Enrollments:</b> Housing, Shelter, Other Program Placements <b>Services:</b> This includes services that are associated with the enrollments of the programs.		X
<b>*Exceptions (Default is not shared)</b> <ul style="list-style-type: none"> <li>• Domestic Violence Assessment</li> <li>• Case Notes</li> <li>• Barriers: HIV/AIDS, Mental Health, Substance Abuse</li> </ul>	X	Can be shared on a case by case basis if necessary.

**Agreed upon exceptions for Sharing Records: (Please specify any of the aforementioned exceptions)**

1. \_\_\_\_\_
2. \_\_\_\_\_
3. \_\_\_\_\_
4. \_\_\_\_\_
5. \_\_\_\_\_

**Responsibility by Agency:**

The following are responsibilities for completing the necessary tasks within the UHMIS software in order to complete compliance reporting and can be delegated to any agencies within the partnership. Please note: While these duties may be delegated to agencies other than the reporting or lead agency, the lead agency is ultimately responsible for all data related to the program funded tied to compliance reporting.

Please list appointed agency and designated contact person:

- **Client Intake:** \_\_\_\_\_
- **Program Enrollment:** *Must be funded or primary agency*
- **Client level Annual & Exit Assessments:** \_\_\_\_\_
- **Client level tracking of supportive services:** \_\_\_\_\_
- **Client level unit/bed occupancy tracking:** \_\_\_\_\_
- **Annual/Compliance Reporting (APR):** *Must be funded or primary agency*

**Agreement:**

By signing this document each agency involved agrees to the terms set by this document and accepts all roles and responsibilities herein, as well as compliance with the UHMIS Operating Policies and Procedures.

\_\_\_\_\_  
Primary Reporting Agency Name

\_\_\_\_\_  
Agency Director (Please Print)

\_\_\_\_\_  
Date Signed

\_\_\_\_\_  
Agency Director Signature

**Partner Agencies**

\_\_\_\_\_  
Agency Name

\_\_\_\_\_  
Agency Director (Please Print)

\_\_\_\_\_  
Date Signed

\_\_\_\_\_  
Agency Director Signature

\_\_\_\_\_  
Agency Name

\_\_\_\_\_  
Agency Director (Please Print)

\_\_\_\_\_  
Date Signed

\_\_\_\_\_  
Agency Director Signature

\_\_\_\_\_  
Agency Name

\_\_\_\_\_  
Agency Director (Please Print)

\_\_\_\_\_  
Date Signed

\_\_\_\_\_  
Agency Director Signature

\_\_\_\_\_  
Agency Name

\_\_\_\_\_  
Agency Director (Please Print)

\_\_\_\_\_  
Date Signed

\_\_\_\_\_  
Agency Director Signature

## UTAH HMIS

## UTAH HOMELESS MANAGEMENT INFORMATION SYSTEM END-USER AGREEMENT

Printed Name \_\_\_\_\_ Agency \_\_\_\_\_

Job Title \_\_\_\_\_ E-mail/Phone \_\_\_\_\_

Identified User Group \_\_\_\_\_ Program \_\_\_\_\_

### SECTION I

#### PURPOSE OF POLICIES & PROCEDURES FOR DATA IN THE UTAH HOMELESS MANAGEMENT INFORMATION SYSTEM (UHMIS)

The purpose of this agreement is to: 1) ensure that information collected as part of UHMIS will affirm the basic right of clients to have the confidentiality of their information protected; 2) establish directions for the release of confidential information; 3) cite ethical/legal exception to the right of confidentiality; and 4) create procedures to ensure client confidentiality while providing for the exchange of information necessary for continuity of care.

### SECTION II

#### USER POLICY, RESPONSIBILITY STATEMENT, & CODE OF ETHICS

##### User Policy

At the discretion of the UHMIS Partner Agency, information for provision of services to homeless persons may be shared through the networked infrastructure that establishes electronic communication among the Partner Agencies.

Partner Agencies shall at all times have rights to the data pertaining to their clients that was created or entered by them in UHMIS. Partner Agencies shall be bound by all restrictions imposed by clients pertaining to the use of personal data. The UHMIS Informed Consent Release Form must be signed in order for identifying information to be shared with Partner Agencies. Partner Agencies bound by HIPAA or 42 CFR Part 2 are expected to develop and administer appropriate consent and Notice of Privacy Practices documentation in compliance with all appropriate State and Federal regulations.

Minimum data entry on each Client shall consist of the Universal Data Elements as defined in the March 2010 HUD Data Standards. This standard is subject to modification by State and Federal policymakers. Data necessary for the development of aggregate reports of homeless services, including services needed, services provided, referrals and Client goals and outcomes should be entered to the greatest extent possible.

The UHMIS is a tool to assist agencies in focusing services and locating alternative resources to help homeless persons. Therefore, agency staff shall only use the Client information in UHMIS to target services to the Client's needs.

##### User Responsibility

The user ID and password is given to access to the UHMIS statewide. Users will have to initial each item below to indicate they understand and accept the proper use of your User ID and password. Failure to uphold the confidentiality standards set forth below may result in a breach of client confidentiality. By initialing below and by signing this form UHMIS you are agreeing to uphold all confidentiality standards.

\_\_\_\_\_ User ID and password are for the user's use only and must not be shared with anyone.

\_\_\_\_\_ Users take all reasonable means to keep their password physically secure.

\_\_\_\_\_ Users must understand that the only individuals who can view information in UHMIS are authorized users and the clients to whom the information pertains.

# UTAH HMIS

\_\_\_\_\_ Users can only view, obtain, disclose, or use the database information that is necessary to perform their job, and which complies with clients’ signed permission to release information.

\_\_\_\_\_ If a user is logged into the UHMIS and must leave the work area where the computer is located, they must log-off of the software before leaving the work area. Users will not leave a computer unattended that has the HMIS software “open and running”.

\_\_\_\_\_ Users or the agency will keep hard copies of appropriate UHMIS information/documentation in a secure place. All client information will be kept secure by ensuring that all hard copies of client forms are locked and secure when unattended. When hard copies of the UHMIS information are no longer needed they will be archived for up to seven years. Beyond that, hard copies of the records must be properly destroyed to maintain confidentiality.

\_\_\_\_\_ If a user notices or suspects a security breach; they must immediately notify the Agency Administrator for UHMIS or the System Administrator.

\_\_\_\_\_ Users will not knowingly enter false or misleading client information into HMIS under any circumstances.

\_\_\_\_\_ Users will ensure that they are making the best effort to collect any and all necessary back up documentation for client level information.

**User Code of Ethics**

- A. UHMIS Users must treat partner agencies with respect, fairness and good faith.
- B. Each UHMIS User should maintain high standards of professional conduct in the capacity as a UHMIS User.
- C. The UHMIS User has primary responsibility for his/her client(s).
- D. UHMIS Users have the responsibility to relate to the clients of other partner agencies with full professional consideration.

I understand and agree to comply with all the statements listed above.

\_\_\_\_\_

UHMIS User Signature

\_\_\_\_\_

Date

\_\_\_\_\_

Agency Director

\_\_\_\_\_

Date

## UTAH HMIS

## UTAH HOMELESS MANAGEMENT INFORMATION SYSTEM RESEARCH ACCESS AGREEMENT

### Purpose

The purpose of this document is to provide an agreement as well as guidelines to be followed between the State Community Services Office (SCSO) UHMIS Administration and \_\_\_\_\_, (referred to as researcher) in regards to the access of client level information from the Utah Homeless Management Information System.

(Person or Entity)

### Access

It is understood that researcher will have access to **de-identified** client level information with a unique Client ID. The specific information that can be utilized will be:

- De-identified Universal Data Element Fields (as per the [March 2010 Data Standards](#))
- Program Data Element Fields (as per the [March 2010 Data Standards](#))
- Program entry and exit dates
- History of Client Services received

### Guidelines

Listed below are the guidelines to be followed by any researchers requesting UHMIS data:

- Researcher will provide a specific list of information they are requesting and the purpose of the research they are conducting.
- UHMIS Administration will provide de-identified information to researcher as needed for the research purposes as per the request made by researcher if approved.
- If required, UHMIS Administration will link individual level data from UHMIS to data collected indirectly by researcher and will provide combined data with all clients' identifying information removed from the dataset.
- If researcher requires additional follow-up, it is understood that the request will have to go through the UHMIS Administrator to get additional de-identified data.
- Researcher will follow all terms outlined in the UHMIS Security Privacy Policy, and will not provide client level data to any other entities or persons.
- Researcher will provide publishing credit to SCSO as the source of data for any results or findings.
- Researcher understands their responsibility to maintain the overall security of the data.
- UHMIS Administration has the right to revoke access and/or dissemination rights to data.

By signing this agreement researcher understands the responsibility to uphold and follow the guidelines listed above.

\_\_\_\_\_  
Researcher Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
UHMIS Administrator

\_\_\_\_\_  
Date

## UTAH HMIS

**UTAH HOMELESS MANAGEMENT INFORMATION SYSTEM  
PRIVACY POSTING****\*\*PLEASE READ CAREFULLY\*\***

We collect personal information directly from you for reasons that are discussed in our privacy statement. We may be required to collect some personal information by law or by organizations that give us money to operate this program. Other personal information that we collect is important to run our programs, to improve services for homeless persons, and to better understand the needs of homeless persons. We only collect information that we consider to be appropriate.

If you have any questions or would like to see our privacy policy, our staff will provide you with a copy.

## UTAH HMIS

## UTAH HOMELESS MANAGEMENT INFORMATION SYSTEM Informed Consent Release Form

**PLEASE READ THE FOLLOWING STATEMENTS.**

**MAKE SURE YOU HAVE HAD THE CHANCE TO HAVE YOUR QUESTIONS ANSWERED.**

\_\_\_\_\_ is part of the Utah Homeless Management Information System (UHMIS).  
(Agency Name)

UHMIS is a system that uses computers to collect information about homelessness. The reason for UHMIS is to track funding for homeless programs given by many funders. The goal is to simplify service delivery to people in need.

UHMIS operates over the internet and uses many security protections to keep your information safe. Many service providers across Utah use UHMIS, so your information will be shared with other service providers that provide similar services. Information collected is housed in a secure server located at Data System International (DSI), in Sandy, Utah. DSI employees have access to this server and the data housed there, but only for network support and maintenance purposes. UHMIS staff and approved Utah State Community Services Office (SCSO) staff collect and use only information that is needed for reports on homelessness to help inform policy decisions. Every person with access to this information must sign and comply with all confidentiality agreements.

To better provide services to you in the best way possible \_\_\_\_\_ is asking your  
(Agency Name)

permission to share your information with the other approved UHMIS participating agencies in Utah. This will include sharing the following information about you and any dependant minor children with you:

- **Name, gender, SSN, birth date**

By signing this form you are letting us share your information, and the information of your dependent children under the age of 18 with other UHMIS participating agencies. This information will be accessible for seven years from the last date of service.

You may cancel this consent at any given time by written request to this agency. The cancellation will not be applied to records already collected from you. If you choose to not give consent, **it does not make you ineligible** to receive services unless you are applying for the Homeless Prevention and Rapid Re-housing Funding (HPRP or TANF).

**Your Rights**

- You have the right to get services even if you choose **NOT** to participate in the UHMIS.
- You have the right to ask who has seen your information.
- You have the right to see your information and to change it if it's not correct. But you must show documentation.

A list of participating agencies is available from your case manager or online at <http://hmis.utah.gov>. If you don't want your information shared with a specific agency, please let your case manager or intake worker know. He/she can then take the proper action to honor your request.

\_\_\_\_\_  
SIGNATURE OF CLIENT (AND/OR GUARDIAN)

\_\_\_\_\_  
DATE

\_\_\_\_\_  
PRINTED NAME OF CLIENT

\_\_\_\_\_  
DOB OF CLIENT

\_\_\_\_\_  
SIGNATURE OF INTAKE WORKER/CASE MANAGER

# UTAH HMIS

## UTAH HOMELESS MANAGEMENT INFORMATION SYSTEM GRIEVANCE FILING FORM

If you think we may have violated your privacy rights or you disagree with a decision we made about access to your "Protected Information" you may complete this form.

**\*\*It is against the law for any agency to take retaliatory action against you if you file this grievance. You can expect a response within 30 days via the method of your choice.\*\***

**Grievance must be submitted in writing to:**

**State Community Services Office**  
Attn: HMIS Lead Agency Management  
1385 South State, Fourth Floor  
Salt Lake City, UT 84115

Please provide information regarding the violation.

**Date of offense:** \_\_\_\_\_

Name of **Individual** who violated your privacy rights: \_\_\_\_\_

Name of the **Agency** that violated your privacy rights: \_\_\_\_\_

**Provide a description of the grievance:**

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Please list your contact information:

**Name:** \_\_\_\_\_

**Phone #:** \_\_\_\_\_

**Mailing Address:** \_\_\_\_\_

What is the best method to contact you:

\_\_\_\_\_

Phone       Mailing Address

\_\_\_\_\_

E-mail

**E-mail:** \_\_\_\_\_

**HMIS Staff Only**

Date Received: \_\_\_\_\_

Date Reviewed: \_\_\_\_\_

Recommendation to Agency: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_



# UTAH HMIS

## UTAH HOMELESS MANAGEMENT INFORMATION SYSTEM SECURITY CHECKLIST

Name \_\_\_\_\_  
 Email Address \_\_\_\_\_  
 Organization \_\_\_\_\_  
 Date of the Review \_\_\_\_\_

A.	CHO Security Office Section	Yes	No	Comments to Improve/Fix
1.	Do you have a signed copy of the “Agency Partner Agreement for Utah Homeless Management Information System” for your agency?			
2.	Do you have a signed copy of a “UHMIS End-User Agreement” for each authorized user within your organization?			
3.	Have all employees entering/viewing HMIS data attended the UHMIS end user training?			
4.	Have you reviewed the policies and procedures manual (December 2013 Version) with in the past year?			
5.	Has your agency conducted a background check on the CHO security officer?			
6.	Does your agency only collect, enter and extract HMIS data that are relevant to the delivery of homeless services?			
7.	Does your agency limit access to information provided by the Utah HMIS database to its own employees specifically for verifying eligibility for service or entering records into the system of service provided?			
8.	Do you have a written policy to keep track of UHMIS users who leave the agency?			
9.	Do you notify the UHMIS lead security officer within two businesses days of any UHMIS user that needs their user account deactivated?			
10.	Have you deactivated all user accounts that need to be deactivated?			

# UTAH HMIS

11. Is the UHMIS privacy policy posted in a common area viewable by those receiving services?			
12. Does your agency collect signed “UHMIS Informed Consent Release Form” prior to the client’s information being entered into the UHMIS?			
13. Does your agency have a Quality Assurance Plan that to ensure that the UHMIS Informed Consent Release Form and all of the universal data elements are gathered?			
14. If data is extracted from the database and stored outside the private local area network, is it properly protected via encryption or by adding a file-level password?			
15. Do computers/phones/tablets used to access the HMIS have a locking screen saver? (Terminals must be locked when left unattended.)			
16. Are the computers/phones/tablets used to access the UHMIS password protected?			
17. Do the terminals that access the UHMIS system have virus protection with automatic updates and individual or network firewalls?			
18. Are the screens of the terminals to access UHMIS kept out of the view of non-authorized UHMIS users?			
19. Have there been any Security Incidents in the past year, as defined in the HMIS Security Plan?			

Comments:

## UTAH HMIS

# UTAH HOMELESS MANAGEMENT INFORMATION SYSTEM DATA SHARING MEMORANDUM OF UNDERSTANDING BETWEEN:

The Salt Lake and Tooele Counties Continuum of Care

The Mountainland Continuum of Care

The Balance of State Continuum of Care

and

The State Community Service Office (SCSO), Housing and Community Development Division

of the State of Utah Department of Workforce Services (DWS)

## A. Purpose and Scope

The purpose of this Memorandum of Understanding is to confirm agreements between the Salt Lake and Tooele Counties (SLC) Continuum of Care (CoC), the Mountainland (Mtl) CoC, the Balance of State CoC and the State Community Service Office (SCSO), Housing and Community Development Division of the State of Utah Department of Workforce Services (DWS) in connection with the State of Utah Homeless Management Information System (UHMIS). As such, the Memorandum of Understanding sets forth the general understandings, and specific responsibilities of each party relating to key aspects of the governance and operation of UHMIS.

This consolidated and revised agreement is effective on January 27, 2014.

## B. Background

The State of Utah Homeless Management Information System (UHMIS) is a collaborative project of three CoCs within the State of Utah, namely Salt Lake and Tooele Counties, Balance of State, Mtl, SCSO, DWS, and participating Partner Agencies. HMIS is a computerized data collection application designed to capture information about homeless people and homeless programs over time. HMIS is mandated by the U.S. Department of Housing and Urban Development (HUD) under the HEARTH Act for all communities and agencies receiving HUD CoC and Emergency Solutions Grant (ESG) homeless assistance funds. HMIS is essential to efforts to streamline client services and inform public policy. Through HMIS, homeless people benefit from improved coordination in and between agencies, informed advocacy efforts, and policies that result in targeted services. Analysis of information gathered through HMIS is critical to the preparation of a periodic accounting of homelessness in the State of Utah and each Continuum, which may include measuring the extent and nature of homelessness, the utilization of services and homeless programs over time, and the effectiveness of homeless programs. Such an unduplicated accounting of homelessness is necessary to service and systems planning, effective resource allocation, and advocacy. The parties to this Memorandum of Understanding (MOU) share a common interest in collaborating to end homelessness and successfully implementing and operating HMIS in the State of Utah.

The three Continua of Care goal is to collaboratively provide a range of homeless housing and services. The continuum of care system components includes prevention, emergency shelter, transitional housing, permanent housing and permanent supportive housing. Outreach efforts and specialized supportive services actively identify and support homeless individuals and families and work with them to access mainstream resources. HMIS will enable homeless service providers to collect

uniform client information over time. Analysis of information gathered through HMIS is critical to accurately calculate the size, characteristics, and needs of the homeless population; these data are necessary to service and systems planning, and advocacy.

### C. General Understandings

#### 1. Governance

The State of Utah CoCs are the lead planning groups of the HUD funded efforts to end homelessness and for implementing and operating a homeless system within their jurisdictions. As such and per HUD policy, the CoCs are responsible for HMIS project oversight and implementation, which encompasses:

- a) Planning,
- b) Administration,
- c) HMIS budget approval and oversight,
- d) Grant monitoring and work plan submission approval,
- e) Software selection,
- f) Managing of HMIS data compliance with HMIS data standards,
- g) Reviewing and approving all policies, procedures and data management plans contributing to HMIS Organizations.

The CoCs oversight and governance responsibilities are carried out by its Steering Committee. The general decision making process is as follows:

- a) Draft policies, procedures, data management plans and other work will be reviewed, amended, and preliminarily approved by the Steering Committee.
- b) The CoC representatives on the Steering Committee are responsible to share draft policies, procedures, data management plans and other work with their perspective CoCs for CoC feedback and approval.
- c) The Steering Committee may give final approval of policies, procedures, data management plans and other work after receiving feedback and approval from each of the three CoCs.
- d) No policy, procedure, data management plan or other work may be approved by the Steering Committee without confirmation and approval by all three CoCs.

#### 2. Steering Committee & Information Committee

The State HMIS Steering Committee is made up of representation of all three CoCs for the State of Utah as well as ESG representation, local leaders and the Lead Agency HMIS staff. The role and responsibility of the Steering Committee is defined in the Governance in section C.1.

The role and responsibility of the Information Committee is to provide analysis of trends and performance of the homeless system and detailed HMIS data reports as requested by each CoC objectives. This Committee will inform the Steering Committee and the SHCC of homeless data which may be collected outside of the HMIS system.

#### 3. Lead Agency Designation

The three CoCs designate SCSO, DWS to manage the HMIS operations on its behalf and to provide HMIS project administration functions including staffing with State employees and managing budget and grant requirements.

#### 4. Compliance with HMIS Standards

It is the responsibility of the CoCs to ensure the HMIS lead agency is operating the HMIS project in compliance with the HUD technical standards, HMIS data quality standards and other applicable laws. The parties agree to update this MOU and other HMIS operational documents, including policies and procedures in order to comply with any updates to these standards established in notices or other guidance, within HUD specified timeframes for such changes. Oversight will be provided by the HMIS Steering Committee.

#### 5. Contributing HMIS Organizations (CHO)

A CHO is defined as an organization (inclusive of the HMIS Lead) that operates a provider program and a program level, HMIS compliant system, whether or not it is a member of a CoC or receives any federal (HUD), State, County or City funding

that contributes Protected Personal Information or other client level data to the HMIS database. The CHOs must enter into Participation Agreements in order to contribute such data to HMIS. The authority to enter into the Participation Agreement with the CHO for the purpose of insuring compliance with all applicable HUD and ESG HMIS requirements, including the operation of a program level HMIS compliant system, rests with the HMIS Lead Agency.

#### 6. Funding

##### a. HUD Grant

- i. HMIS activities are covered by HUD CoC grants and HUD-required local match funds. The terms and uses of HUD funds are governed by the HUD CoC grant agreement and applicable rules.

##### b. HMIS Cash Match

- i. The HUD CoC grant comes with a cash match requirement. As detailed below, SCSO is retaining responsibility for the commitment of the local match for HMIS.

##### c. Fees

- i. No fees will be charged to any CHO wishing to provide data to HMIS. CHOs are required to pay their own costs associated with establishing and operating their own program level, HMIS complaint system in accordance with the terms of participation Agreement and adhere to HMIS data security standards.

#### 7. Software and Hosting

The three Continuum of Care for the State of Utah have selected a single software product—ClientTrack—to serve as the sole UHMIS software application for the State of Utah. All Partner Agencies agree to use ClientTrack for all HUD CoC and ESG funded programs with the exclusion of Domestic Violence Programs.

#### 8. Compliance with Homeless Management Information System Standards

The HMIS is operated in compliance with HUD HMIS Data and Technical Standards and other applicable laws. The parties anticipate that HUD will approve the new HMIS standards and guidelines and the parties agree to make changes to this MOU, other HMIS operational documents, and HMIS practices and procedures to comply with the expected revisions, within the HUD-specified timeframe for such changes.

#### 9. Local Operational Policies and Agreements

The HMIS continues to operate within the framework of agreements, policies, and procedures that have been developed and approved over time by the CoCs through its HMIS Steering Committee and Information Committee. These agreements, policies and procedures include but are not limited to the Policies and Procedures Manual, Privacy Policies and Notices, Client Consent Forms, Client Release of Information (ROI) Forms and Procedures, Standardized Information Collection Forms (Intake and Exit), Partner Agency Agreements, and User Agreements. Changes to the policies and procedures may be made from time to time by the CoCs, through its HMIS Steering Committee, to comply with the HMIS Standards or otherwise improve HMIS operations. It is expected that the CoCs may want to make some changes to the policies and procedures to accommodate its unique approach to managing and administering HMIS with the new HUD standards for centralized intake and coordinated Assessment. During any transition, all existing HMIS policies and procedures will remain in force until such time as the CoCs and the HMIS Steering Committee and Information Committee agree to such changes.

#### 10. Specific Responsibilities of the Parties

##### 1. The Salt Lake and Tooele Counties CoC, Mountainland CoC, and Balance of State CoC

The Salt Lake and Tooele Counties, Mtl, and the Balance of State CoCs make up the HMIS governance body, providing oversight, project direction, policy setting, and guidance for the HMIS project. The three CoC will exercise all its responsibilities for HMIS governance through its HMIS Steering Committee members with support from the Information Committee.

## A. These responsibilities include:

- a) Responsible for ensuring and monitoring compliance with the HUD HMIS Standards.
- b) Responsible for monitoring and assessing the effectiveness of the designated UHMIS agency.
- c) Designate the HMIS Lead Agency and the software to be used for HMIS, and approve any changes to the HMIS Lead Agency or software.
- d) Conduct outreach to and encourage participation by all homeless assistance programs and other mainstream programs serving homeless people.
- e) Develop and approve all HMIS operational agreements, policies, and procedures through the Steering Committee.
- f) Inform elected officials, government agencies, the nonprofit community, and the public about the role and importance of HMIS and HMIS data.
- g) Guide data quality and reporting efforts, as well as assist with holding CHOs accountable for data quality and agreements to improve these elements.
- h) Promote the effective use of HMIS data, including measuring the extent and nature of homelessness, the utilization of services and homeless programs over time, and the effectiveness of homeless programs.
- i) Work to insure that participating CHOs provide all necessary information for compilation of the CoC Housing Inventory Chart, and support SCSO/HMIS in preparing the Annual Homeless Assessment Report (AHAR).
- j) Work to ensure participating CHOs are effectively working on performance measurement standards set by the CoC. Support the efforts of the HMIS team, HMIS steering Committee and Information Committee with participating CHOs on improving performance and data quality.
- k) Work with HMIS team to set milestones and goals through the Steering Committee.

2. The State Community Services Office (SCSO)

SCSO serves as the lead agency for the HMIS project, managing and administering all HMIS operations and activities. SCSO exercises these responsibilities at the direction of the State of Utah CoCs.

## A. General Responsibilities:

- a) Serve as the liaison with HUD regarding the HMIS for all three Continuums in the State of Utah.
- b) Serve as the liaison with the software vendor. SCSO is responsible for a successful HMIS project, including data, software vendor contract and licensing, security arrangements, and contractor agreements.
- c) Lead the HMIS Information Committee.
- d) Provide overall staffing for the project.
- e) Participate in the Steering Committee.
- f) Comply with HUD HMIS Standards (including anticipated changes to the HMIS Standards) and all other applicable laws. Setup and maintenance of HMIS database in accordance with the HEARTH Act.
- g) Annually prepare all HUD McKinney-Vento CoC Supportive Housing NOFA application for HMIS funding within the State of Utah, applying for renewal funds each year, and administering the HUD HMIS grants. Grants and quarterly reports including detailed budget expenditures will be given to Steering Committee for review and approval prior to submission to HUD.
- h) Provide all required match funds for HMIS grants. Lead the effort to engage other participating agencies in funding a portion of HMIS (i.e. Veterans, ESG, etc.)
- i) Provide required trainings for all end users and administration and manage end user licenses (per terms of grant agreement with HUD).
- j) Create project forms and documentation in accordance with HUD HMIS guidelines.
- k) Provide and maintain the project website.
- l) Prepare project policies and procedures, UHMIS Standard operating Policies and Procedures (approved by the HMIS Steering Committee with support from the Information Committee).
- m) Obtain and maintain signed Partner Agency MOUs including privacy and security agreements.

## B. Administering HMIS vendor contract with Data System International (ClientTrack) responsibilities include:

- a) Server security, configuration, and availability.
- b) Setup and maintenance of hardware HMIS.
- c) Maintenance of software.
- d) Configuration of network and security layers.
- e) Anti-virus protection for server configuration.
- f) System backup and disaster recovery (disaster recovery provided by ViaWest, central server provider).
- g) Take all steps needed to secure the system against breaches of security and system crashes.
- h) Ensure system uptime and monitoring system performance.
- i) Protect confidential data (in compliance with HUD Standards, local privacy policies, and other applicable law), and abide by any restrictions clients have placed on their own data.
- j) Develop and implement security and confidentiality plans if required by the revised HUD HMIS Standards.

C. Administering HMIS end users, including:

- a) Add partner agency programs to HMIS these include: HUD CoC funded programs, Emergency Solutions Grant (ESG) funded programs, VA Grant Per Diem (GPD), VASH, SSVF, HOPWA and State Funded programs for the homeless.
- b) Manage user licenses

D. Training

Provide all training and user guidance needed to ensure appropriate system use, data entry, data reporting, and data security and confidentiality, including:

- a) Training documentation
- b) Conduct confidentiality, privacy and security training
- c) Provide ClientTrack software training for agency administrators and end users
- d) Outreach to users/end user support
- e) Provide and coordinate technical assistance and support
- f) Respond to helpdesk issues reported in ClientTrack
- g) Conduct quarterly User Group trainings
- h) Develop and support comprehensive training materials, training manuals and website resources
- i) Ensure HMIS training is conducted with every new user before giving access to the database.

E. Data Quality

- a) Ensure all client and homeless program data are collected in adherence to the HUD HMIS Data Standards. These include the Universal data elements and program specific data elements.
- b) Establish HMIS data quality benchmarks with the direction of the Steering Committee.
- c) Monitor data quality and generate agency level data quality reports quarterly for each CoC.
- d) Provide specific data quality training.
- e) Preparing and implementing a data quality plan if required by the revised HUD HMIS Standards.
- f) Carry out aggregate data extraction and reporting including the HMIS data needed for an unduplicated accounting of homelessness including the annual Point in Time.
- g) Assist partner agencies with agency-specific data collection and reporting needs, such as the Annual Progress Report and program reports (within reason and within constraints of budget and other duties).
- h) Ensure that HMIS can generate reports for unduplicated client records.

## F. Satisfactory Assurances Regarding Confidentiality and Security:

HMIS will designate a member of the team to act as the Security officer for the 3 CoCs. Their role and responsibility is to work with the participating CHOs, the Steering Committee and the Information Committee to ensure that those individuals entering client information enter into HMIS are properly trained and adhering to the privacy and security protections and requirements of HUD HMIS Standards, HIPAA Privacy Rule, other law, and local HMIS privacy and security policies and procedures. SCSO HMIS staff hereby agrees that it will use protected client information only for purposes permitted by agreement with the CoCs or with written approval for Research purposes. This information will be used by the Information Committee to produce the State Annual Homeless Report as well as the Point-in-Time. SCSO agrees it will make use of all safeguards required by HUD Privacy Standards, HIPAA Privacy Rule and, where appropriate, other law, and local HMIS privacy and security policies and procedures in order to prevent any unauthorized disclosure of protected client information.

## G. Period of Agreement and Modification/Termination

1. Period of Operation and Termination: This MOU will become effective upon signature of the parties and shall remain in effect until terminated by the parties. Each party shall have the right to terminate this agreement as to itself only upon 90 days prior written notice to The SCSO, DWS. Violation of any component may be grounds for immediate termination of this Agreement.

2. Amendments: Amendments, including additions, deletions, or modifications to this MOU must be agreed to by all parties to this Agreement.

The signatures of the parties indicate their agreement with the terms and conditions set forth in this document.

The Salt Lake and Tooele Counties Continuum of Care

By \_\_\_\_\_ Date \_\_\_\_\_

The Mountainland Continuum of Care

By \_\_\_\_\_ Date \_\_\_\_\_

The Balance of State Continuum of Care

By \_\_\_\_\_ Date \_\_\_\_\_



The State Community Service Office, Housing and Community Development Division of the State of Utah Department of Workforce Services

By \_\_\_\_\_ Date \_\_\_\_\_

Lloyd S. Pendleton,

HMIS Director

Housing and Community Development Division

State of Utah Department of Workforce Services

## UTAH HMIS

## UTAH HOMELESS MANAGEMENT INFORMATION SYSTEM STEERING COMMITTEE BY-LAWS

### Background

The Utah Homeless Management Information System (HMIS) Steering Committee is an *approval/advisory* body that supports and enhances the overall mission of the Utah HMIS Lead Agency by advising HMIS Lead Agency staff on functions related to HMIS Lead Agency policies and guidelines and approving policies and procedures regularly.

### Utah Homeless Management Information System Project Purpose

The HMIS is an on-line database system that serves agencies providing shelter, housing and services to homeless people and those at risk of homelessness across the state of Utah. The purpose of the project is to help provider agencies improve their services, to give access to the information necessary for providers to obtain funding for homelessness services, and to improve public policy toward homelessness.

### Steering Committee

#### 1. Duties and Powers

The Steering Committee members shall be responsible for providing advice and counsel to HMIS staff and for responding to issues presented for consideration by the Director of HMIS. Specific duties include but are not limited to:

- i. Provide input on the various topics covered;
- ii. Participate in decision-making and recommend policy and make procedures;
- iii. Support coordination of statewide activities;
- iv. Assist in the creation of printed materials, brochures, and mailings;
- v. Review HMIS budget before each SHP grant submission annually; and
- vi. Disseminate information about the committee and the HMIS and gain consensus from Continua.
- vii. HMIS Staff will provide support to CoC representatives.

#### 2. Composition

The Steering Committee will be composed of 14-17 members. Seven members will be representatives from each of the state's three Continua of Care; five will be representatives from the Veterans Administration, PATH - Department of Human Services, ESG grantees including local and state governments. The HMIS Staff will select two HMIS End-Users from the HMIS End-User Group as ex-officio members. The HMIS Lead Agency may appoint other representatives as needed who are familiar with the challenges of a multi-continuum HMIS implementation and meeting the data needs of local, state, and federal funders.

#### 3. Resignation and Removal

A committee member may resign from the Advisory Committee by submitting written notice to the Chair or the Director of HMIS. A member may be removed by a two-thirds vote from the whole committee.

#### 4. Meetings

Meetings will be held ~~quarterly~~ every other month for at least the first year. Meetings will be attended by Committee members, the Director of HMIS, and the HMIS Lead Agency Coordinator. Meeting dates will be set by the Steering Committee during the last meeting of each calendar year. Members are expected to attend a minimum of 75% of the regularly scheduled quarterly meeting with at least two of the meetings attended in person.

#### 5. Quorum/Voting

Quorum consists of 51% of current members. Majority vote carries with 51%. Funders may send a representative to vote on their behalf.

- Vote Tally

## UTAH HMIS

- HMIS Staff – Two Votes
- Balance of State and Mountainland Continua of Care – Two Votes Each (4 Total)
- Salt Lake/Tooele Continuum of Care – Three Votes
- Funders – One Vote Each (8 Votes Total)
  - ESG State, ESG SLCo, ESG SLC, ESG Provo, HOPWA SLC, HOPWA State, PATH, VA
- 17 Votes Total

**Officers**

1. The Chair of the Steering Committee shall preside at all meetings of the Steering Committee. The Chair shall lead the committee in its duties and responsibilities. In the absence of the Chair, the Vice-Chair (or Chair-Elect) will assume the responsibilities of the Chair.
2. The Vice-Chair shall assist the Chair as necessary, leading the committee in its duties and responsibilities in the absence of the Chair, as well as performing such duties as may be assigned by the Chair.
3. The Secretary shall assist the Committee and the Director of HMIS and Special Projects in documenting and dispersing that documentation of the proceedings of the meetings and other documentation.

**Elections and Appointments**

1. Appointments

Continuum of Care members of the Steering Committee will be elected by their CoC annually. These appointments will occur before the first quarterly meeting of the HMIS contract year, July 1st. Funders determine their representatives annually. Committee participation is not reimbursable; however, committee member participation will be used as leveraging for HMIS Lead Agency funding.
2. Elections for Officers

Annually, at the last meeting of the year (May or June), the Steering Committee shall elect the three officers. The newly elected officers shall assume office at the close of that meeting. *There will be a term limit for elected officers of two years, with the Chair-Elect next in line to become Chair.*

**Amendments**

These Bylaws may be amended, repealed, or modified by the affirmative vote of a majority of the Steering Committee at a regularly scheduled meeting provided the proposed changes have been mailed to all members of the Advisory Committee Members two weeks in advance of the meeting. Copies of any such revised Bylaws shall be submitted to the Director of HMIS.

**UTAH HOMELESS MANAGEMENT INFORMATION SYSTEM DATA  
SHARING  
MEMORANDUM OF UNDERSTANDING BETWEEN:**

The Salt Lake County Continuum of Care (SLC)

The Mountainland Continuum of Care (MTL)

The Balance of State Continuum of Care (BOS)

and

State of Utah Department of Workforce Services (DWS),

Housing and Community Development Division (HCD)

1. Purpose and Scope

- A. The purpose of this Memorandum of Understanding is to confirm the agreements, general understandings, and specific responsibilities of each party relating to key aspects of the governance and operation of the Utah Homeless Management Information System (UHMIS).
- B. This consolidated and revised agreement is effective April 15, 2017, and replaces previous working versions.

2. Background

- A. The implementation of UHMIS is a collaborative project of the three Continuums of Care (CoCs) within the State of Utah; namely Salt Lake County, Balance of State, and Mountainlands; HCD, and Partner Agencies (herein referred to as Contributing HMIS Organizations (CHOs)). Homeless Management Information Systems (HMIS) are mandated by the U.S. Department of Housing and Urban Development (HUD) under the HEARTH Act for all communities and agencies receiving HUD-funded CoC and Emergency Solutions Grant (ESG) homeless assistance. HMIS is a web-based data collection software, designed to capture information about homeless people and homeless programs over time. Utah's HMIS is essential to streamline client services across the state and inform public policy. Through UHMIS, those experiencing homelessness or who are at risk of homelessness benefit from improved coordination in and between agencies, consistent advocacy efforts, and integration of informed policies that result in targeted services.
- B. Analysis of data gathered through UHMIS is critical to the preparation of periodic accounting and reporting of homelessness in the State of Utah and each CoC, which may include measuring the extent and nature of homelessness, the utilization of services and homeless programs over time, and the effectiveness of homeless programs; and to accurately calculate the size, characteristics, and needs of the homeless population. An unduplicated accounting of homelessness is necessary to plan service and support systems, effective resource allocation, and advocacy. The parties to this Memorandum of Understanding (MOU) share a common interest in collaborating to end homelessness and successfully implementing and operating UHMIS.
- C. The three Continua of Care goal is to coordinate a range of housing resources and provide appropriate services. The CoCs system components include diversion, prevention, emergency shelter, transitional housing, permanent housing and permanent supportive housing. Outreach efforts and specialized supportive services actively identify and support homeless individuals and families, and work with them to access mainstream resources. UHMIS will enable homeless service providers to collect uniform client information over time.

3. General Understandings

A. Governance

The State of Utah CoCs are the lead planning and management groups of the HUD-funded efforts to end homelessness, and for implementing and operating a homeless information management system within their jurisdictions. HUD policy defines the CoCs responsibility for UHMIS project oversight and implementation, which encompass:

- Planning
- Administration
- UHMIS budget approval and oversight
- Grant monitoring and work plan submission approval
- Software selection
- Ensuring UHMIS compliance with HMIS data standards
- Reviewing and approving all policies, procedures and data management plans affecting UHMIS CHOs

The UHMIS Steering Committee provides oversight and governance responsibilities. The general decision making process is as follows:

- Provide review and preliminary approval of draft policies, procedures, data management plans and other work.
- The CoC representatives on the UHMIS Steering Committee are responsible to share draft policies, procedures, data management plans and other work with their perspective CoC personnel for feedback and approval.
- The UHMIS Steering Committee may give final approval of policies, procedures, data management plans and other work after receiving feedback and approval from each of the three CoCs.
- No policy, procedure, data management plan or other work may be approved by the UHMIS Steering Committee without confirmation and approval by all three CoCs.

B. UHMIS Steering Committee

The UHMIS Steering Committee is comprised of representatives from all three CoCs, as well as ESG representation, local leaders and the Lead Agency UHMIS staff. The role and responsibility of the UHMIS Steering Committee is defined in Section 7-Governance of the UHMIS Standard Operating Procedure manual.

C. Lead Agency Designation

The three CoCs designate the State of Utah HCD to manage the UHMIS operations on their behalf, and to provide UHMIS project administration functions including staffing with state employees, managing contract, budget, and grant requirements.

D. Compliance with HMIS Standards

It is the responsibility of the CoCs to ensure the UHMIS lead agency is operating the UHMIS project in compliance with the HUD technical standards, HMIS data quality standards and other applicable laws. The parties agree to update this MOU and other UHMIS operational documents, including Standard Operating Procedures manual, in order to comply with any updates to these standards established in notices or other guidance, within HUD specified timeframes for such changes. Oversight will be provided by the UHMIS Steering Committee.

E. Contributing HMIS Organization (CHO)

A CHO is defined as an organization (inclusive of the UHMIS Lead) that operates a provider program and a program level, UHMIS compliant system; whether or not it is a member of a CoC, or receives any Federal, State, County or City funding that contributes Protected Personal Information (PPI) or other client level data to the UHMIS database. The CHOs must enter into a Participation Agreement in order to contribute data to UHMIS. The authority to enter into the



Agency Partner Agreement with the CHO for the purpose of insuring compliance with all applicable HUD and ESG requirements, rests with the UHMIS Lead Agency.

F. Funding

• HUD Grant

UHMIS activities are covered by HUD CoC grants and HUD-required local match funds. The terms and uses of HUD funds are governed by the HUD CoC grant agreement and applicable rules.

• UHMIS Cash Match

The HUD CoC grant comes with a cash match requirement. As detailed below, HCD is responsible for the commitment of the local match for UHMIS.

• Fees

CHOs are required to pay their own costs associated with establishing and operating their own program level UHMIS data entry processes in accordance with the terms of Agency Partner Agreement and adhere to UHMIS data security standards. For CHOs receiving CoC funding and required to enter into UHMIS, no fees will be charged. CHOs not part of CoC reporting and funding could be charged if the need to support UHMIS outside the scope defined in this document arises in the future.

G. Software and Hosting

The Utah Continuum of Care organizations have selected a single software vendor as the HMIS software application. All CoCs and CHOs agree to use ClientTrack for all HUD CoC and ESG funded programs with the exclusion of Domestic Violence Programs.

H. Compliance with Homeless Management Information System Standards

The UHMIS is operated in compliance with HUD HMIS Data and Technical Standards and other applicable laws. The parties anticipate that HUD will approve the new HMIS standards and guidelines and the parties agree to make changes to this MOU, other UHMIS operational documents, and UHMIS practices and procedures to comply with the expected revisions, within the HUD-specified timeframe for such changes.

I. Local Operational Policies and Agreements

The UHMIS will operate within the framework of agreements, policies, and procedures that have been developed and approved over time by the CoCs through its UHMIS Steering Committee. These agreements, policies and procedures include but are not limited to the Standard Operating Procedures Manual, Privacy Policies and Notices, Client Consent Forms, Client Release of Information (ROI) Forms and Procedures, Standardized Information Collection Forms (Intake and Exit), Partner Agency Agreements, and End-User Agreement forms. Revisions to the policies and procedures may be suggested by the UHMIS Lead Agency, and presented to the UHMIS Steering Committee, to comply with the HMIS Standards or otherwise improve UHMIS operations. It is expected that the CoCs may want to make some changes to the policies and procedures to accommodate unique approaches to managing and administering UHMIS. During any transition, all existing UHMIS policies and procedures will remain in force until such time as the CoCs and the UHMIS Steering Committee confirm such changes.

4. Specific Responsibilities of the Parties

A. CoC responsibilities include:

- Ensure compliance with the HUD HMIS Standards
- Monitor and assess the effectiveness of the designated UHMIS Lead Agency
- Designate the UHMIS Lead Agency and the software to be used for UHMIS, and approve any changes to the UHMIS Lead Agency or software
- Conduct outreach and encourage participation by all homeless assistance programs and other mainstream programs serving homeless people
- Develop and approve all UHMIS operational agreements, policies, and procedures through the UHMIS Steering Committee

- Inform elected officials, government agencies, the nonprofit community, and the public about the role and importance of UHMIS and UHMIS data
- Guide data quality and reporting efforts, and assist in holding CHOs accountable for data quality and agreements to improve these elements. Work with UHMIS lead agency to set milestones and goals.
- Promote the effective use of UHMIS data, including measuring the extent and nature of homelessness, the utilization of services and homeless programs over time, and the effectiveness of homeless programs.
- Ensure that participating CHOs provide all necessary information for compilation of the CoC Housing Inventory Chart, and support UHMIS Lead Agency in preparing the Annual Homeless Assessment Report (AHAR).
- Encourage participating CHOs to effectively work on performance measures set by the CoC. Support the efforts of the UHMIS Lead Agency and the UHMIS Steering Committee with participating CHOs on improving performance and data quality.

B. The State Housing and Community Development Division (HCD) general responsibilities include:

- a. Serve as the UHMIS Lead Agency, managing and administering all UHMIS operations and activities at the direction of the CoCs
- b. Serve as the liaison with HUD regarding the UHMIS for the CoCs. Comply with HUD HMIS Standards (including anticipated changes to the HMIS Standards) and all other applicable laws
- c. Act as a liaison with the software vendor, including data management, software vendor contract and licensing, and security arrangements
- d. Provide overall staffing for the UHMIS
- e. Participate in the UHMIS Steering Committee
- f. Annually prepare all HUD CoC NOFA application for UHMIS funding, applying for renewal funds each year, and administering the HUD UHMIS grants. Grants and quarterly reports including detailed budget expenditures will be given to UHMIS Steering Committee for review and approval prior to submission to HUD
- g. Provide all required match funds for UHMIS grants. Lead the effort to engage other participating agencies in funding a portion of UHMIS (i.e. Veterans, ESG, PATH, RHY etc.)
- h. Provide required trainings for all end-users and manage end-user licenses
- i. Create project forms and documentation in accordance with UHMIS guidelines
- j. Provide and maintain the UHMIS website
- k. Prepare UHMIS Standard Operating Procedures
- l. Obtain and maintain copies of signed Partner Agency Agreements, as well as MOUs, if applicable
- m. Administer UHMIS vendor contract with Eccovia (ClientTrack) including:
  - (1) Interact with vendor on scope of work deliverables as outlined in the contract.
  - (2) Address and resolve software issues, working in a cooperative manner with the vendor.
  - (3) Process contract renewals, including payment schedule and scope of work details.
  - (4) Setup and maintenance of UHMIS.
  - (5) Configuration of network and security layers, develop and implement security and confidentiality plans.
  - (6) System backup and disaster recovery
  - (7) Ensure system uptime and monitor system performance
  - (8) Protect confidential data in compliance with HUD Standards, local privacy policies, and other applicable laws, and abide by any restrictions clients have placed on their own data
- n. Administering UHMIS end-users, including:
  - (1) Add partner agency programs to UHMIS: HUD CoC funded programs, Emergency Solutions Grant (ESG) funded programs, VA Grant Per Diem (GPD), VASH, SSVF, PATH, RHY, HOPWA and State Funded programs for the homeless.
  - (2) Manage user licenses
  - (3) Provide all training and user guidance needed to ensure appropriate system use for data entry, reporting, security and confidentiality
  - (4) Develop and support comprehensive training materials, training manuals and website resources
  - (5) Provide software training and support for agency administrators and end-users
  - (6) Provide and coordinate technical assistance and support



- (7) Respond to helpdesk issues reported in ClientTrack
- (8) Ensure data security training is conducted with every new user before they can access the database
- o. Data Quality
  - (1) Ensure all client and homeless program data are collected in adherence to the HUD HMIS Data Standards. These include the Universal data elements and program specific data elements
  - (2) Establish UHMIS data quality benchmarks with the direction of the UHMIS Steering Committee
  - (3) Monitor data quality and generate agency level data quality reports quarterly for each CoC
  - (4) Provide specific data quality training
  - (5) Prepare and implement a data quality plan
  - (6) Carry out aggregate data extraction and reporting including the UHMIS data needed for an unduplicated accounting of homelessness including the annual Point in Time
  - (7) Assist partner agencies with agency-specific data collection and reporting needs, such as the Annual Progress Report and program reports (within constraints of budget and other duties)
  - (8) Ensure that UHMIS can generate reports for unduplicated client records

5. Assurances Regarding Confidentiality and Security:

The lead agency will designate a member of the team to act as the security officer. That representative will work with the participating CHOs, the UHMIS Steering Committee to ensure that the end-users entering client information into UHMIS are properly trained and adhere to the privacy and security requirements of HUD HMIS Standards, HIPAA Privacy Rule, other applicable laws, and local UHMIS privacy and security policies and procedures. UHMIS lead agency staff will only use client information for purposes permitted by CoCs or with documented approval from UHMIS Steering Committee for research purposes, and will implement all safeguards required by HUD Privacy Standards, HIPAA Privacy Rule and, where appropriate, other law, and local UHMIS privacy and security policies and procedures in order to prevent any unauthorized disclosure of protected client information.

6. Period of Agreement and Modification/Termination

This MOU will become effective upon signature of the parties and shall remain in effect until terminated by the parties. Each party shall have the right to terminate this agreement as to itself only upon 90 days prior written notice to the HCD/DWS. Violation of any component may be grounds for immediate termination of this Agreement. Amendments, including additions, deletions, or modifications to this MOU must be agreed to by all parties.

The signatures of the parties indicate their agreement with the terms and conditions set forth in this document.

The Salt Lake County Continuum of Care

By [Signature] Date 8/16/17

The Mountainland Continuum of Care

By [Signature] Date 8/15/17

The Balance of State Continuum of Care

By [Signature] Date 8/16/17

The State Housing and Community Development Division of the State of Utah Department of Workforce Services

By [Signature] Date 9/1/17





# 2017 HDX Competition Report

## PIT Count Data for UT-504 - Provo/Mountainland CoC

### Total Population PIT Count Data

	2016 PIT	2017 PIT
Total Sheltered and Unsheltered Count	178	171
Emergency Shelter Total	76	67
Safe Haven Total	0	0
Transitional Housing Total	61	63
Total Sheltered Count	137	130
Total Unsheltered Count	41	41

### Chronically Homeless PIT Counts

	2016 PIT	2017 PIT
Total Sheltered and Unsheltered Count of Chronically Homeless Persons	9	8
Sheltered Count of Chronically Homeless Persons	5	4
Unsheltered Count of Chronically Homeless Persons	4	4

### Homeless Households with Children PIT Counts

	2016 PIT	2017 PIT
Total Sheltered and Unsheltered Count of the Number of Homeless Households with Children	23	15
Sheltered Count of Homeless Households with Children	23	15
Unsheltered Count of Homeless Households with Children	0	0

### Homeless Veteran PIT Counts

	2011	2016	2017
Total Sheltered and Unsheltered Count of the Number of Homeless Veterans	12	3	3
Sheltered Count of Homeless Veterans	5	2	0
Unsheltered Count of Homeless Veterans	7	1	3

# 2017 HDX Competition Report

## HIC Data for UT-504 - Provo/Mountainland CoC

### HMIS Bed Coverage Rate

Project Type	Total Beds in 2017 HIC	Total Beds in 2017 HIC Dedicated for DV	Total Beds in HMIS	HMIS Bed Coverage Rate
Emergency Shelter (ES) Beds	97	36	61	100.00%
Safe Haven (SH) Beds	0	0	0	NA
Transitional Housing (TH) Beds	60	23	37	100.00%
Rapid Re-Housing (RRH) Beds	81	0	81	100.00%
Permanent Supportive Housing (PSH) Beds	200	6	194	100.00%
Other Permanent Housing (OPH) Beds	2	0	2	100.00%
Total Beds	440	65	375	100.00%

### PSH Beds Dedicated to Persons Experiencing Chronic Homelessness

Chronically Homeless Bed Counts	2016 HIC	2017 HIC
Number of CoC Program and non-CoC Program funded PSH beds dedicated for use by chronically homeless persons identified on the HIC	91	54

### Rapid Rehousing (RRH) Units Dedicated to Persons in Household with Children

Households with Children	2016 HIC	2017 HIC
RRH units available to serve families on the HIC	25	22

# 2017 HDX Competition Report

## HIC Data for UT-504 - Provo/Mountainland CoC

### Rapid Rehousing Beds Dedicated to All Persons

All Household Types	2016 HIC	2017 HIC
RRH beds available to serve all populations on the HIC	103	81

# 2017 HDX Competition Report

## FY2016 - Performance Measurement Module (Sys PM)

### Summary Report for UT-504 - Provo/Mountainland CoC

#### Measure 1: Length of Time Persons Remain Homeless

This measures the number of clients active in the report date range across ES, SH (Metric 1.1) and then ES, SH and TH (Metric 1.2) along with their average and median length of time homeless. This includes time homeless during the report date range as well as prior to the report start date, going back no further than October, 1, 2012.

**Metric 1.1:** Change in the average and median length of time persons are homeless in ES and SH projects.

**Metric 1.2:** Change in the average and median length of time persons are homeless in ES, SH, and TH projects.

a. This measure is of the client's entry, exit, and bed night dates strictly as entered in the HMIS system.

	Universe (Persons)		Average LOT Homeless (bed nights)			Median LOT Homeless (bed nights)		
	Previous FY	Current FY	Previous FY	Current FY	Difference	Previous FY	Current FY	Difference
1.1 Persons in ES and SH	1397	1365	13	12	-1	4	4	0
1.2 Persons in ES, SH, and TH	1468	1413	30	28	-2	4	4	0

b. Due to changes in DS Element 3.17, metrics for measure (b) will not be reported in 2016.

This measure includes data from each client's "Length of Time on Street, in an Emergency Shelter, or Safe Haven" (Data Standards element 3.17) response and prepends this answer to the client's entry date effectively extending the client's entry date backward in time. This "adjusted entry date" is then used in the calculations just as if it were the client's actual entry date.

NOTE: Due to the data collection period for this year's submission, the calculations for this metric are based on the data element 3.17 that was active in HMIS from 10/1/2015 to 9/30/2016. This measure and the calculation in the SPM specifications will be updated to reflect data element 3.917 in time for next year's submission.

	Universe (Persons)		Average LOT Homeless (bed nights)			Median LOT Homeless (bed nights)		
	Previous FY	Current FY	Previous FY	Current FY	Difference	Previous FY	Current FY	Difference
1.1 Persons in ES and SH	-	1371	-	60	-	-	5	-
1.2 Persons in ES, SH, and TH	-	1419	-	80	-	-	5	-

# 2017 HDX Competition Report

## FY2016 - Performance Measurement Module (Sys PM)

### Measure 2: The Extent to which Persons who Exit Homelessness to Permanent Housing Destinations Return to Homelessness

This measures clients who exited SO, ES, TH, SH or PH to a permanent housing destination in the date range two years prior to the report date range. Of those clients, the measure reports on how many of them returned to homelessness as indicated in the HMIS for up to two years after their initial exit.

	Total # of Persons who Exited to a Permanent Housing Destination (2 Years Prior)	Returns to Homelessness in Less than 6 Months (0 - 180 days)		Returns to Homelessness from 6 to 12 Months (181 - 365 days)		Returns to Homelessness from 13 to 24 Months (366 - 730 days)		Number of Returns in 2 Years	
		# of Returns	% of Returns	# of Returns	% of Returns	# of Returns	% of Returns	# of Returns	% of Returns
Exit was from SO	0	0		0		0		0	
Exit was from ES	4	0	0%	0	0%	1	25%	1	25%
Exit was from TH	33	1	3%	1	3%	1	3%	3	9%
Exit was from SH	0	0		0		0		0	
Exit was from PH	154	11	7%	7	5%	10	6%	28	18%
<b>TOTAL Returns to Homelessness</b>	<b>191</b>	<b>12</b>	<b>6%</b>	<b>8</b>	<b>4%</b>	<b>12</b>	<b>6%</b>	<b>32</b>	<b>17%</b>

# 2017 HDX Competition Report

## FY2016 - Performance Measurement Module (Sys PM)

### Measure 3: Number of Homeless Persons

#### Metric 3.1 – Change in PIT Counts

This measures the change in PIT counts of sheltered and unsheltered homeless person as reported on the PIT (not from HMIS).

	2015 PIT Count	Most Recent PIT Count	Difference
Universe: Total PIT Count of sheltered and unsheltered persons	203	178	-25
Emergency Shelter Total	86	76	-10
Safe Haven Total	0	0	0
Transitional Housing Total	79	61	-18
Total Sheltered Count	165	137	-28
Unsheltered Count	38	41	3

#### Metric 3.2 – Change in Annual Counts

This measures the change in annual counts of sheltered homeless persons in HMIS.

	Submitted FY 2015	Current FY	Difference
Universe: Unduplicated Total sheltered homeless persons	1537	1455	-82
Emergency Shelter Total	1466	1410	-56
Safe Haven Total	0	0	0
Transitional Housing Total	131	115	-16

### Measure 4: Employment and Income Growth for Homeless Persons in CoC Program-funded Projects

#### Metric 4.1 – Change in earned income for adult system stayers during the reporting period

# 2017 HDX Competition Report

## FY2016 - Performance Measurement Module (Sys PM)

	Submitted FY 2015	Current FY	Difference
Universe: Number of adults (system stayers)	71	74	3
Number of adults with increased earned income	2	2	0
Percentage of adults who increased earned income	3%	3%	0%

### Metric 4.2 – Change in non-employment cash income for adult system stayers during the reporting period

	Submitted FY 2015	Current FY	Difference
Universe: Number of adults (system stayers)	71	74	3
Number of adults with increased non-employment cash income	10	14	4
Percentage of adults who increased non-employment cash income	14%	19%	5%

### Metric 4.3 – Change in total income for adult system stayers during the reporting period

	Submitted FY 2015	Current FY	Difference
Universe: Number of adults (system stayers)	71	74	3
Number of adults with increased total income	10	14	4
Percentage of adults who increased total income	14%	19%	5%

### Metric 4.4 – Change in earned income for adult system leavers

	Submitted FY 2015	Current FY	Difference
Universe: Number of adults who exited (system leavers)	72	134	62
Number of adults who exited with increased earned income	31	31	0
Percentage of adults who increased earned income	43%	23%	-20%

### Metric 4.5 – Change in non-employment cash income for adult system leavers

	Submitted FY 2015	Current FY	Difference
Universe: Number of adults who exited (system leavers)	72	134	62
Number of adults who exited with increased non-employment cash income	20	33	13
Percentage of adults who increased non-employment cash income	28%	25%	-3%



# 2017 HDX Competition Report

## FY2016 - Performance Measurement Module (Sys PM)

Metric 4.6 – Change in total income for adult system leavers

	Submitted FY 2015	Current FY	Difference
Universe: Number of adults who exited (system leavers)	72	134	62
Number of adults who exited with increased total income	51	58	7
Percentage of adults who increased total income	71%	43%	-28%

### Measure 5: Number of persons who become homeless for the 1st time

Metric 5.1 – Change in the number of persons entering ES, SH, and TH projects with no prior enrollments in HMIS

	Submitted FY 2015	Current FY	Difference
Universe: Person with entries into ES, SH or TH during the reporting period.	1487	1388	-99
Of persons above, count those who were in ES, SH, TH or any PH within 24 months prior to their entry during the reporting year.	259	272	13
Of persons above, count those who did not have entries in ES, SH, TH or PH in the previous 24 months. (i.e. Number of persons experiencing homelessness for the first time)	1228	1116	-112

Metric 5.2 – Change in the number of persons entering ES, SH, TH, and PH projects with no prior enrollments in HMIS

	Submitted FY 2015	Current FY	Difference
Universe: Person with entries into ES, SH, TH or PH during the reporting period.	1661	1550	-111
Of persons above, count those who were in ES, SH, TH or any PH within 24 months prior to their entry during the reporting year.	304	304	0
Of persons above, count those who did not have entries in ES, SH, TH or PH in the previous 24 months. (i.e. Number of persons experiencing homelessness for the first time.)	1357	1246	-111

## 2017 HDX Competition Report

### **FY2016 - Performance Measurement Module (Sys PM)**

#### **Measure 6: Homeless Prevention and Housing Placement of Persons defined by category 3 of HUD's Homeless Definition in CoC Program-funded Projects**

This Measure is not applicable to CoCs in 2016.

# 2017 HDX Competition Report

## FY2016 - Performance Measurement Module (Sys PM)

### Measure 7: Successful Placement from Street Outreach and Successful Placement in or Retention of Permanent Housing

Metric 7a.1 – Change in exits to permanent housing destinations

	Submitted FY 2015	Current FY	Difference
Universe: Persons who exit Street Outreach	1	47	46
Of persons above, those who exited to temporary & some institutional destinations	0	0	0
Of the persons above, those who exited to permanent housing destinations	1	0	-1
% Successful exits	100%	0%	-100%

Metric 7b.1 – Change in exits to permanent housing destinations

	Submitted FY 2015	Current FY	Difference
Universe: Persons in ES, SH, TH and PH-RRH who exited	1368	1430	62
Of the persons above, those who exited to permanent housing destinations	446	608	162
% Successful exits	33%	43%	10%

Metric 7b.2 – Change in exit to or retention of permanent housing

	Submitted FY 2015	Current FY	Difference
Universe: Persons in all PH projects except PH-RRH	243	233	-10
Of persons above, those who remained in applicable PH projects and those who exited to permanent housing destinations	205	188	-17
% Successful exits/retention	84%	81%	-4%

**2017 HDX Competition Report**  
**FY2016 - SysPM Data Quality**  
**UT-504 - Provo/Mountainland CoC**

This is a new tab for FY 2016 submissions only. Submission must be performed manually (data cannot be uploaded). Data coverage and quality will allow HUD to better interpret your Sys PM submissions.

Your bed coverage data has been imported from the HIC module. The remainder of the data quality points should be pulled from data quality reports made available by your vendor according to the specifications provided in the HMIS Standard Reporting Terminology Glossary. You may need to run multiple reports into order to get data for each combination of year and project type.

You may enter a note about any field if you wish to provide an explanation about your data quality results. This is not required.

# 2017 HDX Competition Report FY2016 - SysPM Data Quality

	All ES, SH				All TH				All PSH, OPH				All RRH				All Street Outreach			
	2012-2013	2013-2014	2014-2015	2015-2016	2012-2013	2013-2014	2014-2015	2015-2016	2012-2013	2013-2014	2014-2015	2015-2016	2012-2013	2013-2014	2014-2015	2015-2016	2012-2013	2013-2014	2014-2015	2015-2016
1. Number of non-DV Beds on HIC	53	49	47	55	22	33	60	49	160	201	194	162	59	57	19	103				
2. Number of HMIS Beds	44	49	47	55	18	33	60	49	160	197	190	162	59	0	19	103				
3. HMIS Participation Rate from HIC ( % )	83.02	100.00	100.00	100.00	81.82	100.00	100.00	100.00	100.00	98.01	97.94	100.00	100.00	0.00	100.00	100.00				
4. Unduplicated Persons Served (HMIS)	1094	1011	1457	1401	56	107	130	117	302	288	247	226	270	177	188	207	1	0	32	52
5. Total Leavers (HMIS)	1066	990	1416	1371	27	59	83	92	129	120	74	83	233	148	128	160	0	0	8	44
6. Destination of Don't Know, Refused, or Missing (HMIS)	932	890	120	105	0	6	21	6	1	5	0	16	29	57	77	0	0	0	7	42
7. Destination Error Rate (%)	87.43	89.90	8.47	7.66	0.00	10.17	25.30	6.52	0.78	4.17	0.00	19.28	12.45	38.51	60.16	0.00			87.50	95.45

## 2017 HDX Competition Report

### Submission and Count Dates for UT-504 - Provo/Mountainland CoC

#### Date of PIT Count

	Date	Received HUD Waiver
Date CoC Conducted 2017 PIT Count	1/25/2017	

#### Report Submission Date in HDX

	Submitted On	Met Deadline
2017 PIT Count Submittal Date	4/26/2017	Yes
2017 HIC Count Submittal Date	4/26/2017	Yes
2016 System PM Submittal Date	6/5/2017	Yes