Sonoma County HMIS/Data Committee
Agenda for October 9, 2023
10:00 AM – 11:30 AM Pacific Time

Virtual Public Meeting Information:
https://sonomacounty.zoom.us/j/95267110658?pwd=U1ZHNit6ZHZ2NmtKcklDcFc1NnRqdz09
Passcode: 592232

Or Telephone: 669-900-9128
Webinar ID: 952 6711 0658

	Agenda Item	**Presenter**	**Approx. Time**
	Welcome and roll call.	Chair	
1.	Review Quarterly Compliance Checklist	Staff (Action Item)	30 mins
2.	Plans to address HMIS Evaluation items not marked ‘Completed’	Staff (Action Item)	20 mins
3.	Public comment for items not on the agenda.	Chair	5 mins

PUBLIC COMMENT:

Public Comment may be made via email or during the live zoom meeting. To submit an emailed public comment to the Board email daniel.overbury-howland@sonoma-county.org. Please provide your name, the agenda number(s) on which you wish to speak, and your comment. These comments will be emailed to all Committee members. Public comment during the meeting can be made live by joining the Zoom meeting using the above provided information. Available time for comments is determined by the Committee Chair based on agenda scheduling demands and total number of speakers.

Sonoma County HMIS/Data Committee
Agenda Report

Item No: 1

Subject: Quarterly Compliance Checklist

Meeting Date: October 9th 2023

Staff Contact: daniel.overbury-howland@sonoma-county.org

SUMMARY

The Quarterly Compliance Checklist is a document completed quarterly by the Partner Agency Security Officer for each HMIS Partner Agency. It was originally drafted by consultants in 2021 but was not put into use due to concerns it did not adequately address remote working which has become commonplace in the time since the checklist was created. The document has been reviewed and minor updates have been made to be mindful of remote working.

RECOMMENDED ACTION(S)

Approve updates to the Quarterly Compliance Checklist.

HMIS Quarterly Checklist

HMIS Partner Agency Name:				Security Officer Name:
Q1 - July □	Q2 - Oct. □	Q3 - Jan. □	Q4 - April □	Date:

Workstation Security Standards

This Compliance Certification Checklist is to be completed quarterly by the Partner Agency Security Officer for the HMIS Partner Agency named above. Every agency workstation used for HMIS data collection, data entry or reporting must be evaluated. Attach additional copies of any page of this checklist as needed. Any compliance issues identified must be resolved within 30-days. Upon completion, a copy of this checklist should be forwarded to the Lead Security Officer at the HMIS Lead Agency. This original checklist should be readily available on file at the HMIS Partner Agency for 7 years.

For the purpose of this section, authorized persons will be considered only those individuals who have completed HMIS Privacy and Security training within the past 12 months.

1. A Privacy Notice is visibly posted at the HMIS workstation (where applicable).
2. HMIS workstation computer is in a secure location where only authorized persons have access (applies to remote and on-site workers).
3. HMIS workstation computer is password protected and locked when not in use.
4. Documents printed from HMIS are sent to a printer in a secure location where only authorized persons have access.
5. Non-authorized persons are unable to see the HMIS workstation computer monitor.
6. HMIS workstation computer has antivirus software with current virus definitions (within the last 24 hours) a full system scan within the past week.
7. HMIS workstation has and uses a hardware or software firewall.
8. Unencrypted Protected Personal Information (PPI) has not been electronically stored or transmitted in any fashion (hard drive, flash drive, email, etc.).
9. Hard copies of PPI (client files, intake forms, printed reports, etc.) are stored in a secure location.
10. Password is kept physically secure.

#	Workstation Location or End User Name	1	2	3	4	5	6	7	8	9	10	Notes/Comments
1		□	□	□	□	□	□	□	□	□	□	
2		□	□	□	□	□	□	□	□	□	□	
3		□	□	□	□	□	□	□	□	□	□	
4		□	□	□	□	□	□	□	□	□	□	
5		□	□	□	□	□	□	□	□	□	□	
6		□	□	□	□	□	□	□	□	□	□	
7		□	□	□	□	□	□	□	□	□	□	
8		□	□	□	□	□	□	□	□	□	□	
9		□	□	□	□	□	□	□	□	□	□	
10		□	□	□	□	□	□	□	□	□	□	

HMIS Quarterly Compliance Checklist Date:_______________________________________Page______of ______

#	Workstation security compliance issues	Steps taken to resolve workstation security compliance issue

Data Quality Standards

1. Combined quarterly Data Quality Report submit to HMIS Lead agency on time
2. For all data elements, the rate of Don't Know/Refused/Missing is less than the established 5% per the Sonoma HMIS Data Quality Plan
3. All Program Descriptor Data Elements are complete and accurately reflect program contracts and operations

#	HMIS Program Name/ID#	1	2	3	If program is not meeting standard, steps being taken to achieve compliance
1		□	□	□	
2		□	□	□	
3		□	□	□	
4		□	□	□	
5		□	□	□	

Security Officer Certifications

(Initials) I have verified that:

_________ All agency End Users are using the most current version of the HMIS ROI and HMIS Partner Agency list.

_________ All agency End Users have signed the End User Agreement, and I maintain a file of all of those signed agreements.

_________ All agency End Users have completed Privacy and Security training within the past 12 months.

_________ All agency End Users require access to HMIS to complete their assigned duties.

_______________________________ *Partner Agency Security Officer Signature*

_________ *Date*

_______________________________ *Executive Director (or other empowered officer) Signature*

_________ *Date*

Sonoma County HMIS/Data Committee
Agenda Report

Item No: 2

Subject: Addressing Evaluation Shortfalls

Meeting Date: October 9th 2023

Staff Contact: daniel.overbury-howland@sonoma-county.org

SUMMARY

Questions on the evaluations marked as 'Not Completed' or 'Unable to Complete' are listed below with plans on how to address as well as timelines.

C. All Participating Agencies must have at least one Technical Administrator and at least one Security Officer. This is to ensure all end users have an in-agency representative to help with HMIS needs in addition to making all the rules are being followed accordance to the HMIS Policies and Procedures. The Security Officer would ensure the Security Plan is being followed and completing quarterly audits for the agency and annual audits with the HMIS Lead.

Lead agency staff to engage with all HMIS participating providers and request they designate one technical administrator and one security officer. Plan to have this completed and roles assigned by December 2023.

D. Quarterly, Security Audits are to be performed by the Security Officer for each agency. Completing this requires the Quarterly Compliance Checklist found on the Resource webpage is to be filled out and returned to the HMIS Lead each quarter.

F. Annual Security Audits are completed by the HMIS Lead and are completed physically at all sites, to verify all the Security Plan rules are being implemented. Physically audits should include the security of the workstation and completing the Compliance Certification Checklist which can be found on the Resource webpage.

Quarterly Compliance Checklist document planned to be submit to the HMIS Committee in October 2023 and should be in use by December 2023 (if approved).

H. Has HMIS data been used to inform or set local homeless performance metrics and strategies?

O. Did the HMIS Lead effectively communicate data regarding the performance of providers, programs, and the system to the CoC and the public? Lead agency staff are engaged in discussions around data for purposes of performance evaluation as well as to inform the public and other interested parties.

We expect to have plans for future data dashboards and presentations in front of board and committee by December 2023.

I. Do system wide Data Quality Reports show no more than 5% errors?

J. Are all agencies entering their data within 5 calendar days (verified via APR)?

We continue to monitor the data quality for all programs/providers on a quarterly basis and offer assistance and guidance where needed. We will also continue to develop training and documentation to get us closer to our goal of < 5% error rate.

RECOMMENDED ACTION(S)

Approve plans to address shortfalls of 2023 HMIS Lead Evaluation.