



**Siskiyou County Advisory Board Special Meeting  
May 30, 2023  
2:00pm – 2:30pm  
Human Services, 818 South Main Street, Yreka**

**Teleconference locations:**

Karuk Tribe  
635 Jacobs Way  
Happy Camp, CA 96039

Partnership HealthPlan of California  
4665 Business Center Drive  
Fairfield, CA 94534  
(Please contact Partnership if you expect to attend from this location)

- 1. Call to Order/Quorum Established/Introductions**
- 2. Public Comments (limited to 3 mins. per comment)**  
Members of the public will have the opportunity to address the Board on any issue within the jurisdiction of the Board. Speakers will be limited to three minutes.
- 3. New Business**
  - a. Action Item: Approve changes to Governance Charter (Attachment A)—Dr. Collard**
- 4. County Updates**
- 5. Discussion Items for Next Meeting**
- 6. Adjournment**

**Next Meeting**  
**June 7, 2023**  
**1:30pm-3:00pm**

If requested, the agenda shall be made available in appropriate alternative formats to persons with a disability, as required by Section 202 of the Americans with Disabilities Act of 1990 (42 U.S.C. Sec. 12132), and the federal rules and regulations adopted in implementation thereof. You may contact 530-841-2748 for disability-related modifications or accommodations, including auxiliary aids or services, in order to participate in the public meeting.



# Governance Charter

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DEL NORTE, LASSEN, MODOC, PLUMAS,  
SHASTA, SIERRA AND SISKIYOU COUNTIES

Approved on 03-18-2021

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## Overview

The NorCal Homeless Continuum of Care (NorCal CoC) coordinates the implementation of a housing and service system that meets the needs of persons experiencing homelessness in the Continuum. The CoC geographic area includes Del Norte, Lassen, Modoc, Plumas, Shasta, Sierra and Siskiyou counties.

This Governance Charter outlines the roles and responsibilities of the NorCal CoC, the seven Advisory Boards, the Lead Agency, and the Homeless Management Information System (HMIS) Lead Agency.

## Vision

The NorCal Continuum of Care (CoC) envisions a homeless response system that uses resources effectively, quickly connecting our neighbors with services to regain and retain housing or to prevent homelessness from occurring. By reducing homelessness, we will improve the quality of life and well-being of everyone in our region.

## Values

Our values, based on a unified and community-wide solution, will align efforts to address homelessness and mitigate the impacts it has on our communities. Together, we create an assertive, effective, and strategic approach that will serve as the homeless response system.

- Healthy Communities - with a coordinated, regional response, support our most vulnerable populations in identifying housing opportunities and achieving greater dignity and self-sufficiency.
- Coordinated System of Care – a community-wide response to homelessness prioritizes the quality of life for all persons, understanding that each person has unique needs, strengths, and experiences.
- Long-term Sustainability-investments in the right solutions will result in effective use of resources and significantly reduce the number of persons experiencing homelessness.



## Roles and Responsibilities

### A. Operating the CoC

#### The CoC Executive Board

The Continuum of Care Executive Board is the decision-making body for the Continuum of Care. Members of the Board include local officials, service provider agencies, formerly homeless individuals, and advocates. The Executive Board is to be comprised of seven (7) voting members, one representing and elected by each of the Advisory Boards in the NorCal CoC region. This will ensure a fair distribution of appointment across organizational affiliations and representation of all relevant homeless subpopulations. The roles and responsibilities of the Executive Board are as follows:

1. Hold meetings of the full membership, with published agendas, at least semi-annually (24 CFR 578.7);
  - a. The NorCal CoC will hold meetings monthly;
2. Issue public invitation for new members to join at least annually;
3. Adopt and follow a written process to select a board to act on behalf of the Continuum of Care. The process must be reviewed, updated, and approved by the Continuum at least once every 5 years;
4. Designate an entity to serve as Lead Agency
5. Designate an entity to serve as Collaborative Applicant
6. Designate an entity to serve as HMIS Lead Agency
7. In consultation with the Lead Agency and the HMIS Lead Agency, develop, follow, and update annually a governance charter, which will include all procedures and policies needed to comply with designating and operating a HMIS and include HMIS requirements as prescribed by HUD; and a code of conduct and recusal process for the board, its chair(s), and any person acting on behalf of the board;

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8. Approve the goals of the NORCAL CONTIUUM OF CARE Continuum of Care Strategic Plan;
9. Approve Advisory Board, Lead Agency and HMIS Lead Agency policies and procedures;
10. Develop continuum wide policies and procedures;
11. In consultation with the Lead Agency and the HMIS Lead, develop, follow, and update annually Develop continuum wide policies and procedures;  
 In consultation with the Lead Agency and HMIS Lead and System Administrator, develop, follow and update annually a HMIS Governance Charter (Attachment E), which includes all measures needed to comply with designating and operating a HMIS and include HMIS requirements as prescribed by HUD
  - a. Designate a single Homeless Management Information System (HMIS);
  - b. Designate an eligible applicant every two years through a m monitoring process to manage the Continuum’s HMIS, known as the HMIS Lead;
  - c. Approve the privacy, security, and a data quality plan for the HMIS;
  - d. Ensure the HMIS is administered in compliance with requirements prescribed by HUD, including procurement of costs and services through an annual monitoring process of the HMIS Lead;
  - e. Ensure consistent participation of recipients and sub-recipients in the HMIS;
- 12. Appoint committees, subcommittees, or workgroups;**
13. Evaluate Strategic Plan performance;
- 14. Evaluate outcomes of projects funded under the Emergency Solutions Grants program, the Continuum of Care program, and report to HUD and other funders;**
- 15. Approve gap analysis;**
- 16. Take action against poor performers who do not meet the minimum established performance targets for CoC activities and funding;**
17. Approve submission of applications in response to Program Notice of Funding Availability (NOFA) opportunities through the Rating and Ranking committee;
18. Review, and evaluate County specific funding requests;
19. Review and approve Ranking and Rating committee funding recommendations;
20. Build community awareness inclusive of the needs of all homeless populations;
21. Approve Consultant applications and request for support materials, services, and supplies.

#### The Advisory Boards

The CoC Executive Board has established Advisory Boards to include representatives from relevant stakeholders and will include a broad representation of key stakeholder groups found within the counties encompassed in the CoC as articulated in the HUD Interim Rule. Each of the counties participating in the CoC region will be responsible for forming a local Advisory Board.

The roles and responsibilities of the Advisory Board are as follows:

1. Adhere to the guidelines in the Governance Charter;
2. Establish, update, and implement to the NORCAL CONTIUUM OF CARE Continuum of Care Wide Strategic Plan and the County Strategic Plan;
3. Coordinate the implementation of an effective housing and service system including outreach, engagement, assessment, prevention, shelter, housing, and supportive services;
4. In conjunction with the Lead Agency, plan for and conduct an annual Point-In-Time Count

- (PIT) and Housing Inventory Count (HIC) of homeless persons;
5. Support programs to meet the goals of the NORCAL CONTINUUM OF CARE Continuum of Care Strategic Plan;
  6. Appoint members with program expertise to workgroups;
  7. Ensure funding requests meet the County specific Strategic Plan goals;
  - 8. Collaborate with the Lead Agency to plan and conduct an annual gaps analysis of the homeless needs and services available;**
  9. Develop Advisory Board wide policies and procedures with support from the Lead Agency;
  10. Establish priorities for funding projects in concurrence with the Strategic Plan;
  - 11. Consult with recipients and sub recipients to establish performance targets appropriate for population and program type and evaluate outcomes;**
  - 12. Evaluate outcomes of projects funded under the Emergency Solutions Grants program and the Continuum of Care program;**
  13. Build community awareness inclusive of the needs of all homeless populations;
  - 14. Coordinate the local Point-In-Time (PIT) Count and Housing Inventory Count (HIC) within the county that meets the following requirements:**
    - a. Homeless persons who are living in a place not designed or ordinarily used as a regular sleeping accommodation for humans must be counted as unsheltered homeless persons;
    - b. Persons living in emergency shelters and transitional housing projects must be counted as sheltered homeless persons; and
    - c. Other requirements established by HUD by Notice.
  15. Adhere to the requirements as written in the CoC agreements between the Lead Agency and the County;
  - 16. Collaborate with the Lead Agency to provide data for the gap analysis;**
  - 17. Coordinate, with the support of the Lead Agency, the implementation of a housing and service system within its geographic area that meets the needs of the homeless individuals (including unaccompanied youth) and families. At a minimum, such system encompasses the following:**
    - a. Outreach, engagement, and assessment;
    - b. Shelter, housing, and supportive services; and
    - c. Prevention strategies.
  - 18. Ensure consistent participation of recipients and sub recipients in the HMIS; and**
  - 19. Develop, with support of Domestic Violence service providers, the emergency transfer plan for the County that meets the requirements under § 578.99(j)(8).**

#### The Lead Agency

The CoC Executive Board has established a Lead Agency role to provide guidance to ensure that duties of the CoC are being met. The Lead Agency may be a unit of local government, a non-profit agency or an individual person.

The CoC Board will enter into a Memorandum of Understanding (MOU) with the designated Lead Agency. The MOU is in effect for a maximum of five years and may be re-executed upon a successful performance review, as described below.

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#### *Current Lead Agency*

Effective June 1, 2023, the CoC Executive Board votes to designate Shasta County Health and Human Services Agency to serve as the CoC's Lead Agency. With written notice, the Lead Agency can terminate its status. A minimum of 30-day notice must be given to the Executive Board.

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#### *Designation and Solicitation Process*

Every five years beginning in 2023, the NorCal CoC Executive Board will review the performance of the current Lead Agency and determine if it will publicly solicit a Lead Agency or continue to designate the current Lead Agency. That decision can be made and documented within a CoC Board meeting. Simple Majority Vote.

If the Executive Board determines that it needs to procure a new Lead Agency, it does the following:

- Form a workgroup to manage the procurement process
- Use an RFP to procure a new Lead Agency
- Designate the Lead Agency resulting from the procurement process

#### *Review of Lead Agency Performance*

Every five years beginning in 2023, the Executive Board will designate a group to conduct a review of the performance of the current Lead Agency and make recommendations to continue to designate the same entity to serve as the Lead Agency or to seek to procure a new Lead Agency. The performance review will include the following at minimum:

- Review MOA between CoC Board and CA and status of agreed upon work
- Review of CoC Planning grant APRs
- Review of CoC Planning grants for issues with grant execution, match, reporting, or expenditures
- Review available HUD program monitoring reports and the results of findings/concerns
- Review compliance with requirements related to the submission of HIC/PIT data, LSA data, System Performance Measures, CoC Planning APR, and the CoC Application
- Review recent CoC Program grant awards and CoC Application scores
- Review compliance with all applicable sections of the CoC Program Rule

The designated workgroup will present the results of the Lead Agency performance review to the Executive Board for consideration, along with recommendations for Lead Agency designation (either to continue to designate the current Lead Agency or to procure a new Lead Agency).

If needed, the Executive Board has the authority to initiate a Lead Agency performance review outside of the 5-year requirement. This decision must be agreed to by a majority of Executive Board members.

Because the Executive Board did not conduct a Lead Agency performance review in 2023, the first review will occur in 2024. The next review will be due in 2028.

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The Lead Agency's roles and responsibilities are as follows:

1. Facilitate meetings with published agendas;
2. Provide access to participate remotely in Lead Agency hosted meetings;
3. Enhance the knowledge of the service providers to address housing needs;
- 4. Conduct annual gap analysis;**
- 5. Facilitate the administration of an annual Point-In-Time Count (PIT) and Housing Inventory Count (HIC) of homeless persons with the Advisory Boards;**
6. Set baseline for system performance based on funding;
7. Build community awareness inclusive of the needs of all homeless populations;
8. Inform the Executive Board of county program needs;
- 9. Ensure consistent participation of recipients and sub recipients in the HMIS;**
10. Complete CoC wide funding applications;
11. Develop and provide Continuum wide trainings including HUD mandated training topic and county requested trainings;
12. Monitor performance of funding projects in accordance with the funding contract;
13. Design, operate, and follow a collaborative process for development of applications for funding;
14. Prepare resolutions and reports to the Shasta County Board of Supervisors as needed per County requirements;
15. Oversee the Rating and Ranking processes;
16. Process Consultant applications, invoices and request for support materials, services and supplies;
17. Update, maintain and monitor the NorCal CoC website;
- 18. Report the results of the evaluation outcomes of projects funded under the Emergency Solutions Grants program and the Continuum of Care program to HUD;**
- 19. Ensure the HMIS is administered in compliance with requirements prescribed by HUD;**
- 20. Provide information required to complete the Consolidated Plan(s) within the Continuum's geographic area;**
- 21. Consult with State and local government Emergency Solutions Grants program recipients within the Continuum's geographic area on the plan for allocating Emergency Solutions Grants program funds and reporting on and evaluating the performance of Emergency Solutions Grants program recipients and sub recipients;**
- 22. In consultation with recipients of Emergency Solutions Grants program funds within the geographic area, establish and consistently follow written standards for providing Continuum of Care assistance. At a minimum, these written standards must include:**
  - a. Policies and procedures for evaluating individuals' and families' eligibility for assistance under this part;
  - b. Policies and procedures for determining and prioritizing which eligible individuals and families will receive transitional housing assistance (these policies must include the emergency transfer priority required under § 578.99(j)(8));
  - c. Policies and procedures for determining and prioritizing which eligible

- individuals and families will receive rapid rehousing assistance (these policies must include the emergency transfer priority required under § 578.99(j)(8));
- d. Standards for determining what percentage or amount of rent each program participant must pay while receiving rapid rehousing assistance;
  - e. Policies and procedures for determining and prioritizing which eligible individuals and families will receive permanent supportive housing assistance (these policies must include the emergency transfer priority required under § 578.99(j)(8)); and
  - f. Where the Continuum is designated a high-performing community, policies and procedures set forth in 24 CFR 576.400(e)(3)(vi), (e)(3)(vii), (e)(3)(viii), and (e)(3)(ix).
23. Assist the Advisory Board with county wide policies and procedures;
  24. Act as the Secretary for the Executive Board Meetings;
  25. Lead Agency to determine equitable distribution of funds using framework identified under "Funding" when funds are required to have an equitable distribution.
  26. Act as the Fiscal Agent for the Continuum;
    - a. Assessing and invoicing for CoC Participation fees based on CoC expenses; and
  27. **Coordinate, with Advisory Boards, the implementation of a housing and service system within its geographic area that meets the needs of the homeless individuals (including unaccompanied youth) and families. At a minimum, such system encompasses the following:**
    - a. Outreach, engagement, and assessment;
    - b. Shelter, housing, and supportive services; and
    - c. Prevention strategies.

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The HMIS Lead Agency and System Administrator (SA)

The CoC Executive Board designates and entity to serve as the HMIS Lead and System Administrator and operate the CoC's Homeless Management Information System. With written notice, the HMIS Lead and System Administrator can terminate its statues. A minimum of 30-day notice must be given to the Executive Board.

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The CoC Board will enter into a Memorandum of Understanding (MOU) with the designated HMIS Lead/SA. The MOU is in effect for a maximum of five years and may be re-executed upon a successful performance review, as described below.

*Current HMIS Lead*

Effective June 1, 2023, the CoC Executive Board votes to designate Shasta County Health and Human Services Agency to serve as the CoC's HMIS Lead/SA.

*Designation and Solicitation Process*

Every five years beginning in 2023, the NorCal CoC Executive Board will review the performance of the current HMIS Lead/SA and determine if it will publicly solicit a HMIS Lead/SA or continue to designate the current HMIS Lead/SA. That decision can be made and documented within a

CoC Board meeting. Simple majority vote.

If the Executive Board determines that it needs to procure a new HMIS Lead/SA, it does the following:

- Form a workgroup to manage the procurement process
- Use an RFP to procure a new HMIS Lead
- Designate the HMIS Lead resulting from the procurement process

#### *Review of HMIS Lead/SA Performance*

Every five years beginning in 2020, the CoC Board will designate a group to conduct a review of the performance of the current HMIS Lead/SA and make recommendations regarding the HMIS Lead/SA designation. The performance review will include the following at minimum:

- Review MOA between CoC Executive Board and HMIS Lead/SA and status of agreed upon work
- Review of HMIS grant APRs
- Review of HMIS grants for issues with grant execution, match, reporting, or expenditures
- Review available HUD program monitoring reports and the results of findings/concerns
- Review status of Service Participation policy, fee collection, any negative feedback from end users or providers related to administration of the fee policy

The designated workgroup will present the results of the HMIS Lead/SA performance review to the Executive Board for consideration, along with recommendations for HMIS Lead designation (either to continue to designate the current HMIS Lead/SA or to procure a new HMIS Lead/SA).

If needed, the Executive Board has the authority to initiate a HMIS Lead/SA performance review outside of the 5-year requirement. This decision must be agreed to by a majority of Executive Board members.

Because the Executive Board did not conduct a HMIS Lead/SA performance review in 2023, the first review will occur in 2024. The next review will be due in 2028.

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The HMIS Lead and System Administrator's roles and responsibilities are as follows:

1. Identify and contract with HMIS provider with approval from the Executive Board;
2. **Review, and revise privacy, security, and a data quality plan for the HMIS to present to the Executive Board;**
3. Ensure HMIS software meets the minimum data and technical functionality requirements established by HUD;
4. Establish, procure, and maintain a contracts and End User Agreement with HMIS user agencies as referenced in HMIS Policies and Procedures Appendix H;
5. Maintain policies and procedures for HMIS as required by HUD;
6. Develop and provide Continuum wide HMIS trainings;
7. Provide technical assistance and training to HMIS service providers;
8. Develop standard reports and queries of HMIS data;
9. Implement the Coordinated Entry System;

10. Conduct reports as requested by the Lead Agency, HMIS contracted agency, Advisory Boards or Executive Board;
11. Report program performance to Lead Agency;
- 12. In consultation with recipients of Emergency Solutions Grants program funds within the geographic area, establish and operate either a centralized or coordinated assessment system that provides an initial, comprehensive assessment of the needs of individuals and families for housing and services. The Continuum must develop a specific policy to guide the operation of the centralized or coordinated assessment system on how its system will address the needs of individuals and families who are fleeing, or attempting to flee, domestic violence, dating violence, sexual assault, or stalking, but who are seeking shelter or services from non-victim service providers. This system must comply with any requirements established by HUD by Notice;**
- 13. Ensure the HMIS is administered in compliance with requirements prescribed by HUD; and**
14. With the approval of the Executive Board, apply for eligible funding.

#### B. Membership of Boards

Representatives from relevant organizations within a geographic area shall establish a Continuum of Care for the geographic area to carry out the duties of this part. Relevant organizations include nonprofit homeless assistance providers, victim service providers, faith-based organizations, governments, businesses, advocates, public housing agencies, school districts, social service providers, mental health agencies, hospitals, universities, affordable housing developers, law enforcement, and organizations that serve veterans and homeless and formerly homeless individuals (CFR 578.5). Board composition will:

1. Represent members from the categories set forth in the Interim Final Rule (Attachment A);
2. Be reviewed annually;
3. Board members may represent more than one subpopulation or affiliation;
4. Include at least one homeless or formerly homeless individual; and
5. Seats will be designated by affiliation, community sector, and subpopulation.

#### The Executive Board

The Continuum of Care Executive Board is the decision-making body for the Continuum of Care. Members of the Board include local officials, service provider agencies, formerly homeless individuals, and advocates. The Executive Board is to be comprised of seven (7) voting members, one representing and elected by each of the Advisory Boards in the NorCal CoC region. This will ensure a fair distribution of appointment across organizational affiliations and representation of all relevant homeless subpopulations.

The Executive Board member must:

1. Be elected onto the Executive Board by the Advisory Board;
2. Have knowledge of the homeless services and organizational needs of their county; and
3. Actively participate in the interest of their Advisory Board and capacity as an Executive

Board member.

#### Officers of the Executive Board

1. **Designation of Officers:** The officers of the NorCal Continuum of Care Executive Board shall be Chairperson, and Vice Chairperson.
2. **Election and Term of Officers:** NorCal Continuum of Care Executive Board shall be elected by each county's Advisory Board. The term of services is based on the term of the contract between the County and the Lead Agency or based on the county's written policy on service term. A majority of the Executive Board members present at the meeting at which the elections are held shall constitute a quorum for the election of officers.
3. **Resignation:** Unless otherwise provided by written agreement, any representative may resign at any time by giving written notice to the Chairperson and the Lead Agency. Any such resignations shall take effect at the time specified within the written notice or if the time be not specified therein upon its acceptance by the Executive Board.
4. **Secretary:** All minutes of the meetings of the Executive Board shall be recorded by the Secretary. Minutes shall be distributed electronically to all Executive Board members within 14 days of the date on which the meeting was held. Secretary shall also distribute agendas for upcoming meetings prior to the date of each meeting.
5. **Duties of Officers:**
  - a. **Chairperson:** The Chairperson of the NorCal Continuum of Care Executive Board shall preside at all meetings of the Executive Board and shall have such other powers and duties consistent with this Governance Charter.
  - b. **Vice Chairperson:** In the absence or disability of the Chairperson, the Vice Chairperson shall perform the duties of the Chairperson and shall perform other duties as are designated by the Chairperson. Acts as the backup for all other officer positions.
  - c. **Compliance Officer:** The Compliance Officer is responsible for overseeing and managing program and funding compliance as described in funding applications.
  - d. **Grievance Officer:** The Grievance Officer acts as an independent official who assists in the resolution of disputes involving matters including but not limited to organization and member participation, and funding denials, program concerns.
  - e. **Policy Officer:** The Policy Officer is responsible for the implementation of State and Federal policy changes and oversees the policy and procedure committee.
  - f. **Membership Officer:** The Membership Officer is responsible for ongoing recruitment of Advisory Board members and ensuring the engagement and participating of existing members. They act as the lead for stipend consultants.
  - g. **Workgroup Officer:** The Workgroup Officer oversees and, if needed, facilitates workgroups. They are responsible for ensuring ongoing progress and task completion of workgroups.

The CoC Executive Board has established Advisory Boards to include representatives from relevant stakeholders and will include a broad representation of key stakeholder groups found within the counties encompassed in the CoC as articulated in the HUD Interim Rule. Each of the counties participating in the CoC region will be responsible for forming a local Advisory Board.

Each county shall have written policies to address membership including but not limited to;

1. Designation of Officers such as a chair, vice-chair, and secretary,
2. Nomination of Officers,
3. Election and Term of Officers,
4. Resignation,
5. Filling officer vacancies, and
6. Powers of Duties of Officers.

#### C. Committees and Workgroups

The Executive Board may establish committees and workgroups as needed, to address Continuum wide and county specific needs. Committee and workgroup members may volunteer or be elected by the Executive Board for Continuum wide topics or by the Advisory Boards for county specific topics. All efforts will be made to ensure committee and workgroup members are comprised of representatives from each county in the continuum when working on Continuum wide projects. Each committee or workgroup will select a chair(s) to facilitate meeting and ensure progress is reported to the Executive Member assigned to workgroups.

Vacancies of selected membership committees will be filled, upon recommendation of a qualified candidate by the Executive Board and by the affirmative vote of the majority of that committee.

In order to address the multitude of services and initiatives, the committees can include staff from the agencies represented on the CoC Advisory Boards as well as other subject matter experts that are not members of the CoC.

#### Responsibility of the Chair (Executive Board, Advisory Board and Committees and/or Workgroups)

1. Establish regular recurring meetings;
2. Track attendance and active participation;
3. Distribute a written agenda to all committee members prior to each meeting;
4. Ensure meeting minutes is documented each official committee meeting and distributed to all committee members;
5. Report meeting progress, setbacks, and concerns to the Workgroup Officer;
6. Submit meeting minutes to the Lead Agency to post on the CoC website; and
7. *Workgroups*: Present project completion or upon request to Executive Board.
8. *Committees*: Report project summary to the Executive Board on a monthly basis.

#### Standing Committees and Workgroups

- Rating and Ranking (R&R)

- Homeless Youth
- Policy and Procedures
- HMIS / Coordinated Entry
- Point-In-Time Count
- Notice of Funding Availability (NOFA) template and R&R procedure development



## D. Meetings

### Meeting Schedule

All meetings shall be open to the public except as otherwise determined by the Executive Board or Advisory Boards for reasons, including, but not limited to, discussion of anticipated or pending legal or personnel matters. A CoC Executive Meeting annual calendar will establish a regular meeting day, time, and location and will follow a schedule for the calendar year. The Advisory Boards meeting calendar, to include meeting date and time and location, will be determined by the counties.

The meeting agendas shall be distributed via e-mail and posted on the NorCal CoC website. CoC agendas will follow the Meeting Agenda Template (Attachment B).

### Quorum and Proxies

Quorum determination must be made at the beginning of each Board meeting. A quorum shall consist of a majority of eligible voters. No business may be officially transacted without a quorum.

Members may send a representative in their place from their agency or workgroup. Voting rights of proxies must be determined by each county.

### Member Conflict of Interest

All Continuum members will abide by 24 CFR 578.95 (Conflicts of Interest) in the Interim Rule. Continuum members will disclose potential conflicts when the topics of funding awards or other financial benefits that could be gained or lost by an organization which they represent as an employee, agent, consultant or board member or family member represents are under consideration by the group in which they are participating. If a conflict of interest exists, the member(s) will recuse themselves from the discussion and any related votes that take place.

The Continuum desires that it, and those entities to which it has delegated authority, make informed as well as non-conflicted decisions. The annual gaps analysis, eligibility criteria for who gets served by what resources in the Continuum, prioritization of who gets served, performance targets, etc. are best developed and refined with broad stakeholder input. Funded projects and jurisdictions will not be deemed conflicted in discussions on these topics nor in providing input on local priorities for Continuum of Care funding and refinements the scoring criteria for projects or the application process. The Ranking and Rating Committee will evaluate the merits of the input and will make the final determination on the scoring criteria and application process.

### Compensation and Supports

The CoC shall have compensation and supports policies in place to facilitate the recruitment and participation of homeless or formerly homeless and youth individuals. Participants eligible for compensation cannot be already paid through their employer to participate in the CoC. The Membership Officer has oversight responsibilities of compensation and supports.

## Point-In-Time Count (PIT) and Housing Inventory Count (HIC)

Annually, the CoC assesses the needs of homeless persons in the Continuum through a well-coordinated point in time count, an on-going review of trends through analysis of HMIS data, and an identification of homeless needs and housing/services resources available within the Continuum.

### A. Point in Time Count

The PIT Count of homeless persons within the Continuum enumerates the following:

1. the number of homeless persons who are living in places not designed for or ordinarily used as regular sleeping accommodations for humans (unsheltered homeless persons);
2. identify the number of homeless persons living in emergency shelters and transitional housing projects (sheltered homeless persons); and
3. identify other annual count requirements established by HUD by Notices

### B. Housing Inventory Count

The HIC Count of homeless persons within the Continuum enumerates the following:

1. Available beds dedicated to the homeless population;
2. The number of beds dedicated to serve homeless persons in all available project types including emergency shelters, transitional housing, rapid re-housing, permanent supportive housing, other permanent housing, or safe havens;
3. The number of HMIS dedicated beds; and
4. Beds available for subpopulations including but not limited to veterans and youth.

### C. County Responsibility

Each County is required to appoint a PIT/HIC lead. The county PIT Lead or designee must;

1. Coordinate the PIT and HIC counts within the county and include all agencies who provide services to the homeless;
2. Participate in the CoC wide PIT/HIC committees;
3. Act as the lead trainer for the county;
  - a. Ensure only trained volunteers participate in the count.
4. Ensure data quality by reviewing submitted surveys;
5. Enter surveys in the online platform; and
6. Report any concerns to the Executive Board and the Lead Agency.

### D. Participation Requirements

1. Mandatory for agencies receiving CoC funding;
2. Highly encouraged for all other agencies not receiving CoC funding but may apply for funding in the future; and

3. Required per the contractual agreement between the county / service provider and the Lead Agency.

## Funding

The Lead Agency develops a strong application and aggressively seeks resources from other funding opportunities as appropriate. The CoC adequately manages the funds, conducts activities that achieve Continuum outcomes and goals, and maximizes the use of the funds. The Continuum follows a collaborative process for developing applications and approving the submission of applications in response to a NOFA published by HUD; in concert with the funding priorities and plan adopted by the Strategic Plan.

When funding is made available to the CoC, one of two methods will be used in accordance with regulation. The first method is a NOFA process, which will include an open application process across the CoC region and use of the Rating and Ranking committee when funds are oversubscribed. The second method is an allocation method, which will include a formula based on the first 80% of the available funding distributed using the most recent HUD approved Point In Time Count and the remaining 20% using the most recent executed contract with the county to provide financial support for the Lead Agency. (See Attachment C) This methodology may also use the Rating and Ranking committee when funds are oversubscribed. In the case of a particular county being oversubscribed, a Rating and Ranking committee formed locally will be used, which will be formed by the Advisory Board.

### A. Application Standards and Thresholds

The Lead Agency will annually update the requirements for application. Service providers and counties receiving COC funding must actively participate in the PIT/HIC count, utilize HMIS for client tracking, participate in Coordinated Entry and be in good standings in accordance with current contractual reporting obligations.

All Applications must meet the following threshold requirements:

1. A completed application is submitted by the deadline,
2. Provide the following documents with the application;
  - a. Advisory Board Lead certification,
  - b. HMIS Lead Agency certification; and
  - c. Point in Time Participation certification.
3. The applicant's organization has adequate capacity to successfully manage the funds, including consideration of their ability to manage existing grants;
4. The applicant meets the HUD eligibility requirements and thresholds;
5. The proposed activities meet McKinney-Vento eligibility requirements;

6. The grant request is reasonable based upon the proposed scope, number of clients services and availability and utilization of existing competitive programs within the geographical area;
7. The application is likely to improve the Continuum’s outcome performance and will contribute to reducing homelessness; and
8. The project meets specific threshold requirements per the NOFA.

#### B. Rating and Ranking

Agencies may be called upon to participate in the Rating and Ranking (R&R) committee. R&R committees are neutral groups of three or more individuals who will rate, and rank funding applications based on the R&R policies and procedures. Committee members should be familiar with housing and homeless needs and be willing to review projects with the best interest of homeless persons in mind. The R&R committee members must be able to meet deadlines set by the Lead Agency.

#### C. Grievance and Appeals

All funding applications not meeting threshold will be denied. Applicants may submit a grievance in accordance with the funding grievance policy and the NOFA grievance policy. All grievances will be overseen by the Executive Officer assigned to grievances or the Vice-Chairman if a conflict exists.

#### D. Collaborative Applicant

The Collaborative Applicant is the entity that submits the annual CoC Program Competition Application for project funding on behalf of the CoC. The CoC retains all of its responsibilities to determine which applications are to be included in the annual request to HUD. The Executive Board designates an entity to serve as the collaborative applicant for the NorCal CoC.

The Lead Agency is the only entity that can:

1. Serve as HUD Collaborative Applicant;
2. Submit HUD CoC program application;
3. Submit other funding applications on behalf of the CoC;
4. Contract or hire CoC staff;
5. Conduct funded project monitoring and performance evaluation;
6. Report progress to the Executive and Advisory Boards; and
7. Submit NOFA’s to the communities the continuum serves.

The CoC Board will enter into a Memorandum of Understanding (MOU) with the designated Collaborative Applicant. The MOU is in effect for a maximum of five years and may be re-executed upon a successful performance review, as described below.

#### *Current Collaborative Applicant*

Effective June 1, 2023, the CoC Executive Board votes to designate Shasta County Health and Human Services Agency to serve as the CoC’s Collaborative Applicant. With written notice, the

Commented [SG10]: Added MOU and selection process

Collaborative Applicant can terminate its status. A minimum of 30-day notice must be given to the Executive Board.

Commented [SG11]: Added

#### *Designation and Solicitation Process*

Every five years beginning in 2023, the NorCal CoC Executive Board will review the performance of the current Collaborative Applicant and determine if it will publicly solicit a Collaborative Applicant or continue to designate the current Collaborative Applicant. That decision can be made and documented within a CoC Board meeting. Simple majority vote.

If the Executive Board determines that it needs to procure a new Collaborative Applicant, it does the following:

- Form a workgroup to manage the procurement process
- Use an RFP to procure a new Collaborative Applicant
- Designate the Collaborative Applicant resulting from the procurement process

#### Review of Collaborative Applicant Performance

Every five years beginning in 2020, the CoC Board will designate a group to conduct a review of the performance of the current Collaborative Applicant and make recommendations regarding the Collaborative Applicant designation. The performance review will include the following at minimum:

- Review MOA between CoC Executive Board and Collaborative Applicant and status of agreed upon work
- Review of HUD CoC Applications
- Review of other funding applications on behalf of the CoC
- Review CoC staffing
- Review status and outcomes of project monitoring and performance evaluation outcome
- Review efficiency of communication with Executive and Advisory Boards
- Review submission of NOFA's to the CoC

The designated workgroup will present the results of the Collaborative Applicant performance to the Executive Board for consideration, along with recommendations for Collaborative Applicant designation (either to continue to designate the current Collaborative Applicant or to procure a new Collaborative Applicant).

If needed, the Executive Board has the authority to initiate a Collaborative Applicant performance review outside of the 5-year requirement. This decision must be agreed to by a majority of Executive Board members.

Because the Executive Board did not conduct a Collaborative Applicant performance review in 2023, the first review will occur in 2024. The next review will be due in 2028.

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#### E. Stipends

To encourage the recruitment and participation of homeless or previously homeless individuals and youth, the Continuum will provide an hourly stipend to active Advisory Board participants in these subpopulations in accordance with the Stipend Policy and Procedure. Additionally, support services may be provided to encourage active participation.

Support services include but are not limited to;

- Round trip mileage;
- Childcare reimbursement;
- Bus passes;
- Other services as approved by the Executive Board member serving as the Membership Officer.

## Homeless Management Information System (HMIS) and Coordinated Entry System (CES)

The CoC has designated Service Point Software as the HMIS provider for the NorCal CoC. The Executive and Advisory Boards have selected Shasta County Community Action Agency as the HMIS Lead Agency.

Coordinated entry is a process developed to ensure that all people experiencing a housing crisis have fair and equal access and are quickly identified, assessed for, referred, and connected to housing and assistance based on their strengths and needs.

### A. Advisory Boards' Responsibilities

Each Advisory Board will;

1. Support the utilization of HMIS;
2. Actively advocate of the continuous usage of the system with all stakeholders;
3. Participate in compliance and data integrity reviews;
4. Adhere to HMIS and CES Policies and Procedures; and
5. Report any concerns to the Executive Board and the HMIS Lead Agency.

### B. Participation Requirements

1. Mandatory for agencies receiving CoC funding;
2. Highly encouraged for all other agencies not receiving CoC funding but may apply for funding in the future; and
3. Required per the contractual agreement between the county / service provider and the Lead Agency.

## Policy and Procedure (P&Ps)

In consultation with the CoC Lead Agency and the HMIS Lead Agency, the Executive and Advisory Boards will develop, follow, and update annually a governance charter that includes all

procedures and policies needed to comply with 24 CFR 578.5(b) and with HMIS requirements as prescribed by HUD.

On an annual basis, the P&Ps will be reviewed and updated as necessary by the Continuum. Once approved, the P&Ps will be made available on the NorCal CoC website.

## Website

[Housing & Community Action Programs | Shasta County California](#)

Commented [%13]: Updated website

The NorCal CoC website will serve as the information hub for the Continuum. The website will be maintained and updated by the Lead Agency. All Advisory Boards are encouraged to view the website on a consistent basis to access up to date information on the continuum. Additionally, Advisory Boards must make available all meeting agendas, minutes and supporting documents to be uploaded to the website.

The Executive Board may convene, at any time, a workgroup to address website needs.

## Strategic Plan

The strategic plan has been developed to respond to the need to solve the issue of homelessness for the NorCal Continuum of Care. The Plan is intended to guide non-profit agencies, local governments, and other interested parties in taking concerted action to work toward ending homelessness. Most importantly, the Plan serves as a starting point for stakeholders to work together on the steps that will lead to transformative change in solving homelessness.

The priorities set forth in the Plan offers a framework to achieve the Continuum's vision of solving homelessness. In particular, the Continuum envisions a homeless response system that:

- Build the Emergency Shelter and Housing System
- Develop Leadership and Coordination of Effort to reduce homelessness
- Implement Data Tracking and Prioritization of Housing Services

### A. Advisory Boards' Responsibility

Each Advisory Board will compose a county wide Action Plan addressing the Continuum wide goals and may include other goals. On a case by case basis, the Executive Board may consider a county plan that does not include all of the Continuum wide strategies. The Advisory Board must present evidence that they cannot participate in the specified strategy. Additionally, counties



may choose to include additional strategies that are not specified in the Continuum's Strategic Plan.

**B. Executive Board Responsibility**

The Executive Board will compose a continuum wide strategic plan to provide a structure for aligning efforts to address homelessness.

**C. Lead Agency Responsibility**

The Lead Agency will assist the Executive and Advisory Boards with the development of the Strategic Plans and provide a template to ensure consistency within the Advisory Boards and the Executive Board.

## Definitions

*Collaborative applicant* means the eligible applicant that has been designated by the CoC's Executive Board to apply for a grant for Continuum of Care planning funds on behalf of the Continuum.

*Consultant* means an individual who holds a seat on the Advisory or Executives Boards, represents a homeless subpopulation such as homeless individual or homeless youth and is not receiving payment through an employer or another organization, to participate in the Boards.

*Committees* means a group of people appointed for a specific function, typically consisting of members of a larger group and continuously meets to address program's needs.

*Coordinated Entry System (CES)* is a streamlined system designed to efficiently match people experiencing homelessness to available housing, shelter, and services

*Homeless Management Information System (HMIS)* means the information system designated by the Continuum of Care to comply with the HMIS requirements prescribed by HUD.

*HMIS Lead* means the entity designated by the Continuum of Care in accordance with the Interim Rule to operate the Continuum's HMIS on its behalf.

*Interim Rule* means the Continuum of Care Program Rule 24 CFR 578, published July 31, 2012, which details the requirements for establishing and operating a Continuum of Care.

*Workgroup* means a group of people appointed for a specific function, typically consisting of members of a larger group and meets for a short period of time to achieve a specific goal.

## Attachments

Attachment A: Membership

Attachment B: Meeting Agenda Template

Attachment C: Funding Allocation Chart

Attachment A: Membership

Represent members from the categories set forth in the Interim Final Rule

| <b>Organization/Person Categories</b>                |
|--|
| Local Government Staff/Officials                     |
| CDBG/HOME/ESG Entitlement Jurisdiction               |
| Law Enforcement                                      |
| Local Jail(s)  |
| Hospital(s)  |
| EMS/Crisis Response Team(s)                          |
| Mental Health Service Organizations                  |
| Substance Abuse Service Organizations                |
| Affordable Housing Developer(s)                      |
| Disability Service Organizations                     |
| Disability Advocates                                 |
| Public Housing Authorities                           |
| CoC Funded Youth Homeless Organizations              |
| Non-CoC Funded Youth Homeless Organizations          |
| Youth Advocates                                      |
| School Administrators/Homeless Liaisons              |
| CoC Funded Victim Service Providers                  |
| Non-CoC Funded Victim Service Providers              |
| Domestic Violence Advocates                          |
| Street Outreach Team(s)                              |
| Lesbian, Gay, Bisexual, Transgender (LGBT) Advocates |
| LGBT Service Organizations                           |
| Agencies that serve survivors of human trafficking   |
| Other homeless subpopulation advocates               |
| Homeless or Formerly Homeless Persons                |
| Mental Illness Advocates                             |
| Substance Abuse Advocates                            |
| Other:   |

Attachment B: Agenda Template  
Meeting Agenda Template



**Meeting Name**  
**Date**  
**Time**  
**Location**  
[www.norcalcoc.org](http://www.norcalcoc.org)

Those who can't attend in person may call in (please advise if you will be calling in):  
Dial-in Number: 1-605-472-5660 Access Code: 821529

1. Call to Order/Quorum Established/Introductions
2. Approval of Agenda
  - A. Review proposed Agenda. Make revisions/additions, as necessary
3. Approval of (Last Month's) minutes
4. Public Comments (limited to 3 mins. per comment)
5. New Business
  - A. Topic
    - a. Sub-topic (if needed)
    - b. Sub-topic (if needed)
  - B. Topic
    - a. Sub-topic (if needed)
  - C. Topic
6. Committee/Task Area Reports
  - A. HMIS/Coordinated Entry Process/System Users/Outreach
  - B. Reports from County/City Staff
  - C. Reports from the Executive Board
  - D. Announcement/Agency Update
7. Discussion for Next Meeting
8. Adjournment

**Next Meeting**  
**Date**  
**Time**

**Ongoing New Business**

- Policies & Procedures
- Program Updates
- Funding Updates
- New Membership
- Agenda Items for Executive Board

**Topics by Month**

- Aug-Feb: Point in Time
- Jan-Feb: Strategic Plan
- May: GAP analysis
- Sep: Collaborative Application
- Mar-May: ESG Application

- Mar, Jun, Sep, Dec: Quarterly Regional **Mtg.**
- Jan, Apr, July, Oct: **Qtrly Mtg** Agenda Items
- Feb: Appoint Rating and Ranking
- Apr: Final PIT report
- Jun: VAWA plan

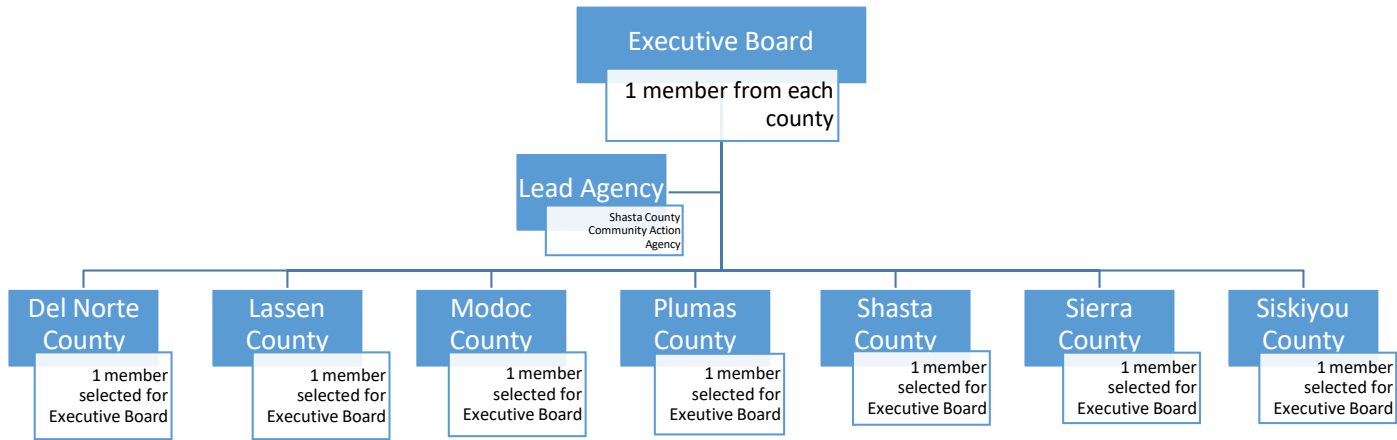
Attachment C: Funding Chart Template

Funding Chart Template

The table below shows an **example** of the funding methodology used for funding distribution. In the below example, \$785,000 shows the equitable distribution method to be used by NORCAL CONTINUUM OF CARE. This is an example **only**.

| Funds allocated: | \$785,000            | Allocation per homeless person | = funds allocated / total homeless | \$614.48            |
|------------------|----------------------|--------------------------------|------------------------------------|---------------------|
| County           | Point In Time Number | 80 % Allocation                | Contract Expiration date           | 20% Allocation      |
| Del Norte        | 125                  | \$76,810                       | 6/30/20                            | \$26,307.50         |
| Lassen           | 55                   | \$33,796.40                    | 6/30/19                            | 0                   |
| Modoc            | 12                   | \$7,373.76                     | 6/30/20                            | \$2,525.52          |
| Plumas           | 96                   | \$58,990.08                    | 6/30/19                            | 0                   |
| Shasta           | 600                  | \$368,688                      | 6/30/20                            | \$126,276           |
| Sierra           | 9                    | \$5,530.32                     | 6/30/20                            | \$1,894.14          |
| Siskiyou         | 125                  | \$76,810                       | 6/30/19                            | 0                   |
| <b>Total</b>     | <b>1022</b>          | <b>\$627,998.56</b>            |                                    | <b>\$156,993.96</b> |

Attachment D: Organizational Chart  
Organizational Chart



## 2021 Governance Charter for the NorCal CoC Homeless Management Information System

### **Purpose and Scope**

The purpose of this Governance Charter is to confirm agreements between both NorCal Continuums of Care (CoC) and the Shasta County Housing and Community Action Agency (hereinafter HMIS Lead Agency). As such, the Governance Charter sets forth the general understandings, and specific responsibilities of each party relating to key aspects of the governance and operation of the Homeless Management Information System (HMIS). This Governance Charter is effective upon execution by the NorCal CoC and HMIS Lead Agency. For the purpose of this document “parties” are defined as NorCal CoC and HMIS Lead Agency.

### *Background*

The HMIS is a collaborative project of the NorCal CoC, the HMIS Lead Agency, and participating Partner Agencies. HMIS is an internet-based data collection application designed to capture information about the numbers, characteristics and needs of persons experiencing homelessness and those at risk of homelessness over time. Use of HMIS is mandated by the U.S. Department of Housing and Urban Development (HUD) for all communities and agencies receiving HUD Continuum of Care funding, Emergency Solutions Grant, Family and Youth Services Bureau’s Runaway and Homeless Youth funding and by the U.S. Department of Veterans Affairs for agencies receiving SSVF funds.

The NorCal CoC is a community-wide initiative that work to provide a range of housing and services for those experiencing homelessness. The continuum of care system includes homelessness prevention assistance, emergency shelter, transitional housing, permanent affordable and permanent supportive housing, supportive services, specialized programs and outreach for designated homeless subpopulations, and integration with mainstream programs. HMIS enables homeless service providers to collect uniform client information over time. HMIS is essential to efforts to streamline client services and inform public policy decisions aimed at addressing and ending homelessness at local, state and federal levels. Through HMIS, people experiencing homelessness benefit from improved coordination within 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 CoCs, 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 Governance Charter share a common interest in collaborating to end homelessness and successfully implementing and operating the HMIS.



## General Understandings

### 1. Continuum of Care Governance

The NorCal CoC is responsible for governance of the HMIS. The NorCal CoC is the lead planning group for implementing and operating HMIS within the CoCs. As such and under HUD policy (24 CFR part 580), the NorCal CoC is responsible for HMIS oversight and implementation, including planning, software selection, HMIS Lead Agency designation and setting up and managing the HMIS in compliance with HUD's national HMIS Standards. The NorCal CoC Governance appoints the HMIS/CE Committee (described below) to develop and maintain all HMIS Policies and Procedures and the HMIS Privacy and Security Plan.

### 2. HMIS Lead Agency Designation

The CoC will designate the HMIS Lead Agency to manage HMIS operations on its behalf, and to provide HMIS administrative functions at the direction of the NorCal CoC and through the NorCal CoC Executive Board and the HMIS/CE Committee.

### Homeless Management Information System/Coordinated Entry Committee

The CoCs' members and HMIS Partner Agencies actively participate with the HMIS Lead Agency through the HMIS/CE Committee in the management of the HMIS. The HMIS/CE Committee is responsible for developing and maintaining policies, procedures, and protocols for functions essential to the viability and success of the HMIS, including, but not limited to, data privacy, security, data quality, analysis, reporting, data sharing protocols. All HMIS participating agencies in the NorCal will be represented on the HMIS/CE Committee to ensure shared responsibility and accountability.

### 3. Committee Meeting Requirements

Meetings – HMIS/CEP Committee meetings will be held quarterly, at a minimum. Important HMIS policy items that emerge in between meetings will be handled by the Committee via email, conference call, or an online meeting.

Attendance – CoC Advisory Board members are relevant stakeholders within the CoC's counties. It is the responsibility of the Local Advisory Boards to identify members that will participate on the HMIS/CEP Committee. The participants are required to attend 75% of all scheduled meetings.

Accessibility -Committee members will be publicly identified and available for contact by HMIS users and agencies throughout the CoCs.

Policies and Procedures - Approval of policy, procedures and HMIS protocols will be approved by the NorCal Executive Board.

Voluntary Board Membership – CoC Advisory Board members are volunteers and are not compensated for their participation.

### 4. Funding

Funding for the software and operations of the HMIS shall be provided by NorCal CoC, through a HUD Continuum of Care program HMIS grant and other funding from the CoC. Partner Agencies may be required to pay user fees for the HMIS software and reporting licenses assigned to their agency. In the event there is a shortfall in funding for the software or operation of the HMIS, the CoC will explore options to increase revenue.

#### 5. Software and Hosting

The NorCal CoC has selected a single software product to serve as the sole HMIS software application, in this case WellSky's Community Services (formerly ServicePoint). All Partner Agencies agree to use the product as configured for the NorCal CoC.

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

The HMIS is operated in compliance with the HMIS Data and Technical Standards and any other applicable laws. The parties anticipate that HUD will release revised HMIS Standards periodically. The parties agree to make changes to this Governance Charter, the HMIS Policies and Procedures, and other HMIS operational documents, to comply with the revised standards within the HUD-specified timeframe for such changes.

#### 7. Operational Policies and Agreements

The HMIS operates within the framework of agreements, policies, and procedures that have been developed and approved over time by the HMIS Lead Agency, the HMIS/CE Committee and the NorCal Executive Board. These agreements, policies and procedures include but are not limited to the HMIS Policies and Procedures Manual, HMIS Privacy Security Plan, Partner Agency Agreements, and User Agreements. All operational agreements and policies and procedures are reviewed annually by the HMIS Lead Agency, the HMIS/CE Committee, and the Nor Cal Executive Board to comply with the HMIS Standards or otherwise improve HMIS operations.

#### 8. Data Ownership

The data entered into the HMIS is owned by the CoC and the client's their own respective data. The HMIS Lead Agency and Partner Agencies are jointly responsible for ensuring that HMIS data processing capabilities, including the collection, maintenance, use, disclosure, transmission and destruction of data, comply with the HMIS privacy, security and confidentiality policies and procedures. The HMIS Lead Agency is given flexibility to be stewards of the data in HMIS and use the data as directed by the CoC.

### **Specific Responsibilities of the Parties**

#### 1. *NorCal CoC* -

- a. Designate the HMIS Lead Agency.
- b. Designate the software to be used for HMIS.
- c. Approve any changes to the HMIS Lead Agency or software.
- d. Approve the privacy, security, and a data quality plan for the HMIS and the HMIS Policies and Procedures.
- e. Ensure the HMIS is administered in compliance with requirements prescribed by HUD, including procurement of costs and services;
- f. Request revision to any HMIS operational agreement, policy or procedure developed by the HMIS Lead Agency, and approved by the the NorCal CoC Executive Board.
- g. Conduct outreach to homeless assistance agencies not using HMIS and encourage these agencies and other mainstream programs serving people experiencing homelessness to participate in HMIS.

- h. Work to inform elected officials, government agencies, the nonprofit community, and the public about the role and importance of HMIS and HMIS data.
- i. Promote the effective use of HMIS data, including its use to measure the extent and nature of homelessness, the utilization of services and homeless programs over time, and the effectiveness of homeless programs.
- j. Provide all local information as necessary for compilation of the Continuum of Care Housing Inventory Count and support the HMIS Lead Agency in preparing the (LSA) and HUD System Performance Measures (SPM).

### 3. *HMIS/CE Committee*

The NorCal CoC exercise the following responsibilities for HMIS governance through the HMIS/CE Committee to implement and continuously improve HMIS and Coordinated Entry.

- a. Regularly evaluate HMIS features, functionality and data points and ensure the HMIS scope aligns with the requirements of agencies, HUD and other federal partners, and other stakeholder groups.
- b. Address any issue that has major implications for the HMIS, such as HMIS Data Standards revisions released by HUD, or HMIS Vendor performance problems.
- c. Review and develop all HMIS operational policies developed by the HMIS Lead.
- d. Provide guidance and oversight of HMIS related user and agency compliance monitoring as undertaken by the HMIS Lead Agency.
- e. Approve HMIS Lead Agency recommendations to terminate a user license or restrict the HMIS participation of a Partner Agency.
- f. Convene meetings of the HMIS/CEP Committee no less than quarterly.

### 4. *HMIS Lead Agency*

Shasta County Housing and Community Action Agency (SCCAA) presently serves as the HMIS Lead Agency for the NorCal CoC HMIS projects, managing and administering all HMIS operations and activities. The HMIS Lead Agency exercises these responsibilities at the direction of NorCal CoC, as per written participation agreement with the HMIS Lead Agency. These responsibilities are contingent on receipt of the appropriate funding from the CoCs and Partner Agencies. The responsibilities of the HMIS Lead Agency include:

- a. Responsible for oversight, project direction, formalizing policy setting, and guidance for the HMIS project.
- b. Convene meetings for the HMIS/CEP Committee no less than quarterly.
- c. Develop and maintain all HMIS operational agreements, policies and procedures, privacy and security plan, data quality plan and written privacy notice.
- d. Regularly evaluate HMIS features, functionality and data points and address any issues that has major implications for HMIS. Ensure all client and homeless program data collected is in adherence to HUD HMIS Data Standards.
- e. Assist in the preparation and submission of annual reports as required by HUD.
- f. Serve as the liaison with HUD regarding HUD HMIS grants.
- g. Provide HMIS Administrator for the operation of the HMIS, who provides guidance and oversight of HMIS related user and agency compliance monitoring.

- i. Review quality of data entered by Agency partners into ServicePoint in accordance with HMIS Policies and Procedures.
  - ii. Monitor Partner Agencies and users to ensure compliance with HMIS operational agreements, data quality plan, policies and procedures and federal standards.
- h. Manage HMIS Agency contracts for HMIS licensed users.
  - i. If there are to be user fees, invoice Partner Agencies and jurisdictions for HMIS fees.
  - ii. Obtain signed partner Agency Agreements and User Agreements
  - iii. Through its System Administrator, grant and provide licenses that are limited term, non-exclusive, non-transferable user licenses for the Licensed Software, including ServicePoint software and the modules ClientPoint, ResourcePoint, ActivityPoint, ShelterPoint, and SkanPoint.
  - iv. Provide training opportunities for HMIS users and provide guidance needed to ensure appropriate system use, data entry, data reporting and data security and confidentiality as it pertains to the HMIS Policies and Procedures (Attachment A).
  - v. Provide technical assistance for HMIS users.
- i. Determine the parameters of the HMIS as it relates to continuity of service, ability to limit access to the data, hosting responsibilities, general security and maintenance issues, data storage, back-up and recovery, customization, compliance with HUD Data standards, reporting needs, training and technical support.
  - i. Obtain and maintain contract with the selected software vendor.
  - ii. Oversee changes to the HMIS software through coordination with the software provider and HMIS users.

*Satisfactory Assurances Regarding Confidentiality and Security:*

It is understood that the HMIS will contain client information that may be subject to the privacy and security protections and requirements of federal HMIS Standards, HIPAA Privacy Rule, other law, and local HMIS privacy and security policies and procedures. The HMIS Lead Agency hereby agrees that it will use protected client information only for purposes permitted by agreement with Partner Agencies and as permitted by the applicable State and Federal law and Standards. Further, the HMIS Lead Agency agrees it will make use of all safeguards required by HUD Privacy Standards, HIPAA Privacy Rule, where appropriate, other law, and local HMIS privacy and security policies and procedures to prevent any unauthorized disclosure of protected client information. The HMIS Lead will:

- 1) Develop and implement security and confidentiality plans required by the HUD HMIS Standards.
- 2) Assist Partner Agencies to rectify agency data security and privacy concerns.

5. *Software Vendor*

The selected software vendor and HMIS database must meet all HUD regulations and policies, and the following requirements:

- a. Ensure the HMIS design meets the federal HMIS Data Standards.
- b. Develop a codebook and provide other documentation of programs created.
- c. Provide ongoing support to the HMIS Lead pertaining to the needs of end users to mine the database, generate reports and other interface needs.
- d. Administer the product servers, including web and database servers.

- e. Monitor functionality, speed and database backup procedures.
- f. Provide backup and recovery of internal and external networks.
- g. Maintain the system twenty-four hours a day, seven days a week.
- h. Communicate any planned or unplanned interruption of service to the HMIS Lead Agency.
- i. Take all steps needed to secure the system against breaches of security and system crashes.

Period of Agreement and Modification/Termination

*6. Period of Operation and Termination*

This Governance Charter shall remain in effect until terminated by the parties. Each party shall have the right to terminate this agreement as to itself only upon 30 days prior written notice to the HMIS Committee in care of the HMIS Lead Agency. Violation of any component may be grounds for immediate termination of this Agreement.

*7. Amendments*

Amendments, including additions, deletions, or modifications to this Governance Charter must be agreed to by all parties to this Agreement.

*NorCal Continuum of Care:*

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NorCal CoC Executive Board, Chair Date

*Shasta County Community Action Agency:*

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Jaclyn Disney, Executive Director Date

## Attachment F

### HMIS END USER AGREEMENT

Agency Name: \_\_\_\_\_ Name of End User: \_\_\_\_\_

The NorCal COC recognizes the importance of client needs in the design and management of HMIS. These needs include maintaining client confidentiality and treating the personal data of clients with respect and care.

As the guardians entrusted with this personal data, Participating Agency End Users have a moral and a legal obligation to ensure that the data they enter into ServicePoint is being collected, accessed and used appropriately. Proper user training; adherence to the NorCal HMIS Policies and Procedures Manual; and a clear understanding of the privacy, security, and confidentiality policies are vital to achieving these goals.

Your User ID and password give you access to ServicePoint. Initial each item below to indicate your understanding and acceptance of the proper use of your User ID and password and your intention to comply with all elements of the Homeless Management Information System Data and Technical Standards Notice published by the U.S. Department of Housing and Urban Development. Unauthorized use or disclosure of HMIS information is a serious matter and any End User found to be in breach of this agreement will be subject to the following penalties or sanctions including: the loss or limitation of use of ServicePoint; adverse employment actions including dismissal; and civil and/or criminal prosecution.

Please initial that you understand and agree to comply with all the statements listed below.

\_\_\_\_\_ My ServicePoint User ID and password are for my use only and must not be shared with anyone.

\_\_\_\_\_ I will take all reasonable means to keep my User ID and password physically secure.

\_\_\_\_\_ If I am logged into ServicePoint and must leave the work area where the computer is located, I must log-off of ServicePoint before leaving.

\_\_\_\_\_ Any computer that has ServicePoint "open and running" shall never be left unattended. Any computer that is used to access ServicePoint must be equipped with locking (password protected) screen savers. Failure to log off ServicePoint appropriately may result in a breach in client confidentiality and system security.

\_\_\_\_\_ If I notice or suspect a security breach, I must notify the HMIS System Administrator – Shasta County Department of Housing and Community Action Programs.

\_\_\_\_\_ I understand that the only individuals who can view HMIS information are authorized users and the clients to whom the information pertains.

\_\_\_\_\_ I understand that in the event a client doesn't want to share their information with other agencies, it's my responsibility to make the client's program enrollment, services, file, etc., private in HMIS and to ensure if the information is provided during CEP case conferencing; it is done so in a non-identifying manner.

\_\_\_\_\_ I understand that I will maintain HMIS data in such a way as to protect against revealing the identity of clients to unauthorized agencies, individuals, or entities (see the Client Informed Consent & Release of Information Authorization and the Notice of Privacy Practices in HMIS Policies and Procedures) both within HMIS and during CEP case conferencing.

\_\_\_\_\_ I understand that I may only view, obtain, disclose, or use the database information that is necessary in performing my job.

\_\_\_\_\_ I understand that these rules apply to all users of HMIS, whatever their work role or position.

\_\_\_\_\_ I understand that hard copies of HMIS information must be kept in a secure file.

\_\_\_\_\_ I understand that once hard copies of HMIS information are no longer needed, they must be properly destroyed to maintain confidentiality.

I affirm the following:

1. I have received the following HMIS trainings:
  - a) ServicePoint use
  - b) Privacy
  - c) Data collection
  - d) Security policy
2. I have read and will abide by all policies and procedures in the HMIS Policies and Procedures Manual and have adequate training and knowledge to enter data and/or run reports in ServicePoint.
3. I will maintain the confidentiality of client data in ServicePoint as outlined above and in the HMIS Policies and Procedures Manual.
4. I will only search, view, or enter data into ServicePoint when a Client Consent Form is on file.

\_\_\_\_\_  
End User Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
End User Printed Name

\_\_\_\_\_  
Phone Number

\_\_\_\_\_  
Email Address

**To be filled out by Agency Directory/Supervisor**

Designated Agency HMIS Program Lead

Yes

No

User will be generating reports

Yes

No

**Please circle the authorized programs for user:**

\_\_\_\_\_  
Agency Director/ Supervisor

\_\_\_\_\_  
Date