

The mission of the Birmingham/Jefferson, St. Clair, Shelby County (AL-500) Continuum of Care (CoC) is to prevent and end homelessness as it exists in our community today utilizing best practices, proven methods and innovative strategies.

The mission of the Collaborative Applicant and HMIS Lead entity, One Roof, is to equip and empower our community to prevent and end homelessness through advocacy, education and the coordination of services.

Purpose of this Governance Document: To set out the composition, roles, responsibilities and committee structure of the Birmingham/Jefferson, St. Clair, Shelby County Continuum of Care (CoC). This CoC Governance Document is reviewed annually by the CoC Board of Directors.

Continuum of Care **Board Selection/Composition:** In the early 1990's the Continuum voted to have One Roof (then Metropolitan Birmingham Services for the Homeless or MBSH) incorporate as a 501(c)(3) to function as the administrative agent. The Continuum voted in 2002 to have One Roof (then MBSH) assume the responsibility of HMIS lead. The Continuum voted in 2003 to restructure the Continuum Board of Directors from a Service Provider board to a Community based board, and to have that board function as the primary decision making body for the Continuum of Care.

The makeup of the Community-based board shall include as many of the following stakeholders as possible. One Board Member could represent multiple listed stakeholder categories.

1. Public and Elected Officials, such as:
 - a) Local government representatives
 - b) Housing Authorities
 - c) Mental Health Authorities
 - d) Local Employment Councils/Workforce Investment Agencies
2. Local Education officials, such as:
 - a) Higher Education: College/University, Vocational Education
 - b) Head Start, Pre-school and other Early Education Providers
 - c) Public School Reps including Local McKinney School Reps
3. Business Community, such as:
 - a) Banking and Real estate
 - b) Major Employers
 - c) Chamber of Commerce
 - d) Affordable Housing Developers
4. Faith and Community Leaders, such as:
 - a) Religious leaders
 - b) Key civic leaders
 - c) Funding organizations
5. Advocates and Service Providers*, such as:
 - a) Veteran Service Organizations
 - b) Homeless Service Providers
 - c) Specialty services providers (mental health, substance abuse, HIV/AIDS, etc.)
 - d) Homeless youth advocates and service providers
 - e) Consumers/ former consumers**

*Two Board seats are reserved for Service Provider representatives. The selection process for two Service Provider Representatives to the Board of Directors is outlined below. It should be noted that Service Provider Representation is not limited to those two representatives, and the Board of Directors is free to add additional Service Providers/Advocates as it sees fit.

** It is a requirement that at least one Consumer/ former consumer shall be seated on the Board. All decisions regarding CoC structure will be approved by the Board of Directors and ratified by CoC membership.

Process for electing Service Provider representation on the One Roof Board of Directors:

1. Every three years, an open nomination period will be held for new Service Provider representation on the One Roof Board of Directors.
2. Any current CoC member will be allowed to self-nominate or nominate another CoC member to this representative role.
3. All nominations will be placed on a ballot for a membership vote.
4. Each CoC member is allowed one vote. Votes will be tallied, and the two representatives with the most votes will be presented as a slate to the Board of Directors. The Board of Directors does not have veto power on these two representatives.

Process for electing Board of Director members (outside of the two designated seats for Service Providers):

1. Each year, the Nominating Committee of the Board of Directors will review Board members' service terms and determine a recruiting strategy for a new slate of members if necessary.
2. The term of Board service is three years, with the possibility of serving two consecutive terms.
3. The Nominating committee conducts the recruitment of new members within the identified stakeholder categories and presents a slate of nominees for final Board approval.
4. All Board members, including Service Provider representatives, are expected to comply with the One Roof Code of Conduct (see attached) which includes a recusal policy.

This process for board selection shall be reviewed and ratified at least every five years.

Organization of the CoC: The Continuum is comprised of several volunteer committees, workgroups/ task forces, which have various roles and responsibilities. These committees include but are not limited to the following:

- One Roof Board of Directors
 - One Roof Executive Committee
 - Board Governance Committee
 - Board Nominating Committee
 - One Roof Finance Committee
 - AL-500 HMIS Committee
- Continuum of Care Membership
 - Housing Type Committee
 - Unaccompanied Youth Workgroup
 - Coordinated Assessment Committee
 - Performance Committee

Designating the Collaborative Applicant

The CoC Board will elect an entity to serve as the Collaborative Applicant for the AL-500 CoC. The Board has elected One Roof to serve as the Collaborative Applicant. If at any time the currently elected Collaborative Applicant significantly fails in its duties, the Board has the authority to hold an emergency meeting, as agreed by a majority of current Board members, and elect a new Collaborative Applicant.

The CoC also has a staffed Continuum agency, One Roof, that is led by an Executive Director who reports to the One Roof Board of Directors. The One Roof paid staff may include, but is not limited to, an Executive Director, an HMIS Coordinator, an Administrative Coordinator, one or more HMIS program specialists, a SOAR specialist, multiple contract professionals, one or more administrative specialists. The One Roof agency may also include AmeriCorps members, VISTA members, paid or unpaid interns and volunteers.

Designating the HMIS Lead

The Board will elect an entity to serve as the HMIS Lead for AL-500. The Board has elected One Roof to serve as the HMIS Lead. If at any time the currently elected HMIS Lead significantly fails in its duties, the Board has the authority to hold an emergency meeting, as agreed by a majority of current Board members, and elect a new HMIS Lead.

Roles and Responsibilities

CoC Board of Directors

The One Roof Board of Directors is the lead decision making body responsible for planning the use of HUD HEARTH CoC resources and coordinating those funds with other relevant resources in the Continuum. The Board is the lead entity managing community planning, coordination and evaluation to ensure that the system of homeless services and housing ends homelessness as we know it today.

Specific responsibilities include:

- Overall direction and leadership of the Continuum of Care process
- Making all formal decisions of the CoC
- Strategic planning and goal-setting
- Aligning and coordinating CoC and other homeless assistance and mainstream resources
- Coordinating resources, integrating activities and facilitating collaboration
- Establishing priorities for and making decisions regarding the allocation of CoC resources.
- Establishing system and program outcomes for evaluation purposes as per HUD guidelines.
- Monitoring and evaluating both system wide and individual program performance on established goals.
- Designating and monitoring the lead agency for HMIS
- Designating and monitoring the CoC Collaborative Applicant
- Overseeing the HMIS Grant
- Overseeing the Continuum Planning Grant
- Overseeing the UFA when developed
- Overseeing the Coordinated Assessment grant and process
- Overseeing completion and submission of the CoC grant application
- Build awareness of CoC related issues
- Recruit Stakeholders and interested entities to participate in the Planning Process
- Staffing of committees

One Roof agency

Specific responsibilities include:

- Serving as the HMIS Lead entity for AL-500, as the Collaborative Applicant for AL-500, and as the organizing entity for the PromisSE HMIS implementation as per the Board of Directors vote.
- As the HMIS Lead entity, One Roof's responsibilities include:
 - Participating in the PromisSE steering committee to develop and maintain HMIS policies and procedures (document: "PromisSE Policies and Procedures") by conducting an annual review

- of all required privacy and security plans, privacy standards, data security standards, and HMIS data quality standards and updating when necessary.
- Supporting the implementation of, and compliance with, HMIS policies and procedures.
- Collaborating with contributing HMIS organizations to design the configuration of HMIS to meet program and reporting needs.
- Using HMIS to collect data for and to generate System Performance Measures, Annual Homeless Assessment Reports, Point in Time Count reports, and Housing Inventory Count reports.
- Reviewing data quality reports and recommending improvement to contributing HMIS organizations.
- Ensuring compliance with HUD HMIS requirements.
- Supporting and protecting the rights and privacy of clients' HMIS data.
- Maintaining user and agency license agreements.
- Establishing a fee structure for HMIS participation by local contributing HMIS organizations (document: "HMIS Fee Structure").
- Preparing collaborative application for CoC funds (formerly known as Exhibit 1), the HMIS Grant, Continuum Planning Grant, and Coordinated Assessment Grant.
- Serving as the UFA (this CoC does not have a UFA, but One Roof will serve in that capacity when there is a UFA in this CoC)
- Collaborating with all Jurisdictions within the CoC to help develop the Consolidated Plans, prioritize ESG funding and monitor and evaluate ESG recipient outcomes. (See specific monitoring processes below)
- Managing the Coordinated Assessment Grant, including determining appropriate assessment tools
- Managing the Continuum Planning Grant
- Managing the HMIS Grant
- Monitoring program performance and HMIS compliance for CoC-funded programs and ESG programs. (See specific monitoring processes below)
- Coordinating Point in Time and the resulting Needs/Gaps Assessments
- Preparing and publishing agendas for Continuum of Care meetings
- Documenting and maintaining minutes for board, membership and committee meetings as appropriate.
- Agency staff participate as appropriate in all committees, workgroups, etc., but they are not elected to the Board of Directors.
- Ensuring the availability of data for planning
- Producing Planning Materials
- Building awareness of CoC related issues
- Inviting stakeholders and interested entities to participate in the Continuum Planning Process

CoC Membership Responsibilities

The CoC Membership as a whole meets monthly with scheduling and facilitation of meetings being done by the One Roof agency. Meetings are widely publicized and are open to the public; membership is not necessary to attend meetings unless specifically noted.

- Current membership is required to participate in any vote.
- Voting on any issue is restricted to one vote per membership, whether that is an agency membership, a business membership, or an individual membership.
- Voting on Planning issues, including the Ranking and Scoring process, is restricted to members who/ that are current on dues, who/ that have participated in at least 80% of the membership meetings in the previous year, have participated in the most recent PIT and PHC as appropriate, and have been members for the previous 12 months.

- Membership dues vary according to the size of the nonprofit, to whether or not the nonprofit participates in the Continuum NOFA process, and whether or not the entity is a business or individual. Membership dues are reviewed by the Board of Directors every two years. CoC-funded agencies pay a percentage of their total grant amount. The current maximum is 1.75% annually. Non CoC-funded agencies serving people experiencing homelessness pay according to their budget size with the maximum being \$750 annually, and there is discretion for new or grassroots nonprofits. Individual memberships are \$25 annually, and there is discretion for people with lived experience.

Written Process for Monitoring CoC-funded and ESG-funded projects:

1. Monthly:
 - a) One Roof (OR) pulls HMIS reports monthly and sends to CoC-funded and ESG-funded projects for review. Projects are given two weeks to review and correct bad data then reports are run again and distributed to projects. These data elements will include, at a minimum:
 - I. Length of time homeless
 - II. Returns to Homelessness
 - III. Bed Utilization Rates
 - IV. Increasing Income
 - V. Connecting to mainstream benefits
 - VI. Destination upon exit
 - VII. Overall data quality including missing/refused data
 - b) The above data elements are plotted and reviewed by One Roof staff.
 - c) CoC-funded and ESG-funded agencies provide Draw-down information to One Roof.
 - d) Draw Down information received by One Roof is plotted and reviewed.
2. At least every two months:
 - a) All funded entities meet to review performance data regarding the above listed elements.
 - b) Underperformance is noted and suggestions discussed for improvement
 - c) This meeting is widely publicized and is open to the public.
3. Sixty days prior to each project close date One Roof staff go onsite at project to:
 - a) Review all of the above
 - b) Review any back-up documentation not uploaded in HMIS
 - c) Look closely at any documentation of homelessness, including, but not limited to, ineligible clients.
 - d) Prior to the APR being submitted to HUD, it is reviewed by One Roof for outcomes, financials and narratives
4. Annually during the planning process One Roof reviews and collates for each project
 - a) APR's
 - b) Performance data collated throughout the year (listed in 1a I. above)
 - c) Project financials including match documentation
 - d) Agency financial audit/findings and HUD monitoring outcomes/ resolutions
 - e) LOCCS drawdowns
 - f) Current documentation of nonprofit status
 - g) Vulnerability/severity of need of clients served
 - h) Cost per client
 - i) Overall capacity
 - j) Any other documents/outcomes determined to be necessary for the Performance Committee and the Ranking and Review Committees to make informed

recommendations/ decisions. This guidance is found in General Recordkeeping 24 CFR 578.

- k) Current grant agreement and any amendments
 - l) Any and all documents included in the HUD/ UFA/ CA monitoring guides
 - m) Documentation of fiscal control and accounting procedures necessary to assure the proper disbursement of and accounting for federal funds in accordance with the requirements of 2 CFR part 200, subpart D
5. Policy and procedure for bringing agencies/ programs deemed by monitoring to be noncompliant into compliance.
- a) One Roof will carefully detail the identified issue of noncompliance and send that by email to the Member Agency. One Roof will then follow-up with a phone call to plan next steps.
 - b) The Member Agency will be given copies of the applicable regulations, educated on the appropriate data entry, given an opportunity to correct the issue, or other corrective action as necessary.
 - c) One Roof will follow up with the agency as quickly and as thoroughly as is dictated by the error. For example, a consistent data entry error might require retraining of staff and monthly monitoring to ascertain that the appropriate data entry process was followed. However, noncompliance with the grant agreement might require bringing in HUD Technical Assistance and intensive follow-up.
 - d) Continued non-compliance will be referred to the Executive Committee of the One Roof Board of Directors.
 - e) Progressive penalties could include anything from an agency being required to develop a Performance Improvement Plan all the way up to defunding of all CoC funded projects. Progression of penalties will be dictated by the particular issue of noncompliance, eagerness to improve, etc. It should be noted that deliberate misuse of public funds is a crime reportable to the Inspector General of the United States.

Written Standards for Prioritization/ Assistance are as follows:

1. Chronically Homeless Clients will be top priority
 - a) First: Chronically homeless Individuals and Families with the Longest History of Homelessness and with the most Severe Service Needs.
 - b) Second: Chronically homeless Individuals and Families with the Longest History of Homelessness.
 - c) Third: Chronically homeless Individuals and Families with the Most Severe Service Needs will be the third priority.
 - d) Chronically homeless Individuals and Families of all other definitions will be the fourth priority.
2. All non-dedicated CH beds will be prioritized for CH. The CoC voted to follow this suggestion and hereby incorporates this into our Governance Charter.

If there should be resources available and there are no CH people of any vulnerability on the numbered waiting list, the CoC will determine vulnerability of anyone on the wait list and follow the Priority Listing in Notice CPD-16-11 which is:

Priority One: Homeless individuals and families with a disability with long periods of episodic homelessness and severe service needs.

Priority Two: Homeless individuals and families with a disability with severe service needs.

Priority Three: Homeless individuals and families with a disability coming from places not meant for human habitation, safe haven, or emergency shelter without severe service needs.

Priority Four: Homeless Individuals and families with a disability coming from transitional housing.

The CoC Coordinated Assessment will follow the above Priority listings to maintain a Single Prioritized Waiting List for Permanent Supportive Housing. This List will be made following all HUD and One Roof nondiscrimination requirements including, but not limited to, the Fair Housing Act, Section 504 of the Rehabilitation Act, Title VI of the Civil Rights Act and Titles II or III of the Americans with Disabilities Act, as applicable.

The Code of Conduct for the One Roof Board of Directors and agency staff includes the Conflict of Interest Policy that states:

1. The standard of behavior at One Roof is that all board members, officers, employees, and agents scrupulously avoid conflicts of interest between the interests of One Roof on one hand and personal, professional, and business interests on the other. This includes avoiding potential and actual conflicts of interest, as well as perceptions of conflicts of interest.
2. The solicitation and acceptance of gifts or gratuities for personal benefit in excess of minimal value is prohibited. The purposes of this policy are to protect the integrity of One Roof decision-making process, to enable our constituencies to have confidence in our integrity, and to protect the integrity and reputations of board members, officers, employees, and agents of One Roof.
3. In the course of meetings or activities, board members, officers, employees, and agents will disclose any interests in a transaction or decision where family and/or significant other, employer, or close associates will receive a benefit or gain. After disclosure, the board member, officers, employee or agent may be asked to leave the room for the discussion and will not be permitted to vote on the questions.
4. There are administrative and disciplinary actions to remedy violations of this Code of Conduct. For employees, the discipline policy will be followed. Violations of this Code of Conduct for board members, officers, and agents will be referred to the Executive Committee of the Board for action. The severity of the violation in addition to other factors, such as additional behaviors and actions not in the best interests of One Roof, may result in disciplinary action up to and including resignation from the board.
5. One Roof will ensure that all board members, officers, employees, and agents of the organization are aware of the Code of Conduct by conducting orientation and training for new board members and new employees. At that time, they will receive a copy of the Code of Conduct for review and will sign a statement agreeing to abide by the Code of Conduct. This orientation and training will be conducted a minimum of once a year.

The authorized official for One Roof is:

Michelle Farley
Executive Director
1515 6th Avenue South
Birmingham, Alabama 35233
205.254.8833

This Code of Conduct is not meant to supplement good judgment and the board members, officers, employees, and agents of One Roof are expected to respect its spirit as well as its wording.