



Arizona  
Department  
of Housing

# HMIS Security and Confidentiality

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# HMIS Security & Confidentiality

## Introduction

The security and confidentiality of homeless client personal information in a Homeless Management Information System (HMIS) is a major issue. For certain providers and sub-populations, such as Domestic Violence shelters, HOPWA shelters, and substance abuse facilities, security & confidentiality of client information becomes even a much larger concern. Extensive technical and procedural measures have been implemented by the Arizona Balance of State Continuum of Care to protect the confidentiality of personal information while allowing for reasonable, responsible, and limited uses and disclosure of data.

## HUD Privacy & Security Standards

The Homeless Management Information Systems (HMIS) Data and Technical Standards Notice, published July 30, 2004 by the U.S. Department of Housing and Urban Development (HUD), included extensive HMIS Privacy and Security Standards to be followed by Continuums of Care, homeless assistance providers, and HMIS software companies. These standards were developed after careful review of the Health Insurance Portability and Accountability Act (HIPAA) standards for securing and protecting patient information. The Arizona Balance of State Continuum of Care has and will continue to implement and monitor practices and procedures to be in compliance with these Privacy & Security Standards.

## Security & Confidentiality Policies and Procedures

In addition to the technical measures described below, the Arizona Balance of State Continuum of Care has implemented a number of policies and procedures to enhance security & confidentiality. Each agency that participates in the HMIS implementation must execute an Agency Partnership Agreement with the Arizona Department of Housing. This Agency Partnership Agreement specifies the responsibilities of all parties and includes security & confidentiality agreements. Each user, prior to being issued a user ID and password, must read and sign a User Code of Ethics form that details their responsibilities for keeping client information confidential. Clients must sign a Release of Information form acknowledging that their information is in a Homeless Management Information System and indicating whether they want their information shared with other providers. Procedures are also in place for securing hardcopy documents such as forms and reports. In addition, the system provides an audit trail of all attempted access violations that is monitored regularly by the system administrators.

## System Security

The Arizona Balance of State Continuum of Care uses the ServicePoint HMIS software from Wellsky Corporation. As an Internet-based software solution, the HMIS software and databases are hosted on servers located at Wellsky Corporation in Lenexa, Kansas. The servers are located in a highly secure computer room accessible only by a very few employees of Wellsky Corporation who are responsible for supporting and maintaining the servers. The computers are also protected by firewalls to prevent unauthorized external access.

## User Authentication

As an Internet-based software system, each Arizona Balance of State HMIS user accesses the system via their Internet web browser. To access the HMIS, each user must know the web address (URL) for the Arizona Balance of State version of ServicePoint. This web address is not published outside of the Arizona Balance of State Continuum of Care and is not available through web search engines. Once at the initial login page, the user must enter a valid user ID and password combination. A unique user ID is assigned to each user by the HMIS System Administrator. Each user must have their own user ID and password and sharing is strictly forbidden. Each password must be a minimum of 8 characters in length and must contain 2 or more digits (to prevent the use of common words). Every 45 days, each password must be changed. If an incorrect password is entered 4 times in a row, the user ID is disabled and the user is locked out of the system until it can be reset by the HMIS System Administrator. Passwords are always encrypted and can never be seen in clear text.

## Encryption

Because all of the HMIS transactions travel over the Internet, all data is fully encrypted using Secure Socket Layers (SSL) with 128 bit-encryption. The 128-bit encryption is the highest level of encryption commercially available and is the same used by banks, online stores, and other secure web sites. Thus, all data from each user's workstation is encrypted, transforming it to unreadable characters from their workstation, is transmitted over the Internet, and then is unencrypted by the ServicePoint servers.

## **Application Security**

The ServicePoint software also has a built-in security system that ensures each user only has the minimum access needed to do their job. Each user is given a security authority level in their user profile that grants access to certain system functions. Several different security authority levels are available, such as Executive Director, Agency Administrator, Case Manager I, Case Manager II, Agency Staff, Volunteer, etc. So within an agency, an agency staff person that just performs intake functions cannot see other information about a client, such as medical assessments and case notes that a case manager could see.

## **Confidentiality – Closed Record**

In the ServicePoint HMIS, by default, all client project entry and exits are "Closed" except for the data elements used to aid in the de-duplication process. Those data elements are: name, social security number, date of birth, and veteran status. These data elements which consist of a subset of UDE's are shared globally throughout the system so that each client has only one record in HMIS. When a client record is closed, only authorized users from the agency that created the record may view the client information. Users from any other agency cannot view any of the client information. It is also possible to enter clients as "Anonymous" or you can use proxy or coded names. However, leaving the profiles closed or entering clients as Anonymous or using proxy or coded names all can lead to the duplication of clients in the system.

## **Confidentiality – Open Record**

If the client provides consent by signing a "Release of Information (ROI)" form indicating their willingness to share information, users from other agencies would be able to see where the client is receiving services. Opening client information helps prevent the duplication of services to clients. All ROI's have a *start* and *end* dates. Data entered on or between the ROI's *start* and *end* date will be visible to other providers. Data entered before the start date or after the end date will not be visible to other providers because it is not covered by an ROI.

## **Confidentiality – Reporting**

Any reports generated for the COC, HUD, and any other federal or state government agencies only includes aggregate, de-identified data. No identifiable client data is ever reported outside of the system.

## **Provisions for Domestic Violence Providers**

In October 2004, HUD issued a Clarification and Additional Guidance on Special Provisions for Domestic Violence Provider Shelters to supplement the HMIS Data and Technical Standards Final Notice. In this document, HUD exempts domestic violence providers from submission of client identifiers (name and SSN) to the COC for unduplication and data analysis. Those programs electing that exemption are required to use either a proxy, coded, encrypted, or hashed unique identifier in lieu of name and SSN.

## **Summary**

All parties – users, agencies, ADOH, the SYSTEM ADMINISTRATOR, Wellsky Corporation – take security & confidentiality very seriously. Violation of security & confidentiality is against the law. The Arizona Balance of State Continuum of Care has implemented extensive technical & procedural measures to protect client data.