



2018 HUD CoC Competition Evaluation Instrument

For all HUD CoC-Funded projects in the Chicago
Continuum of Care

[AGENCY COMPONENT]

2018 HUD CoC Competition Evaluation Instrument - Agency Component
Must be completed by ALL CoC-funded projects within the Chicago CoC by March 9, 2018

General Instructions

Each year, as the Collaborative Applicant, All Chicago carries out an evaluation of all agencies and projects applying for renewal HUD Continuum of Care (CoC) funds. **In 2018, all agencies receiving HUD CoC funding must submit an Evaluation Instrument.** This includes projects formerly classified as Supportive Housing Program (SHP), and Shelter Plus Care (SPC). The CoC program funds Permanent Housing (PH), Rapid Re-housing (RRH), Transitional Housing (TH) and Supportive Service Only (SSO) programs.

The 2018 Evaluation Instrument contains 2 sections, the **Agency Component** (worth **15 points**) and the **Project Component** (worth **42-62 points**). All agencies must submit **one** Agency Component, followed by Project Components **for each project** receiving HUD CoC funding that had a grant period operating between January 1, 2017 to December 31, 2017. Please note, all former Shelter Plus Care (Long Term Rental Assistance or LTRA) projects must submit an evaluation, regardless of renewal date. **All agencies are required to utilize the 2018 Instruction Manual to complete the Evaluation Instrument.** If you have questions, please email All Chicago staff at CoCPrograms@allchicago.org.

Attachment Checklist for Submission

This checklist is provided to aid you in ensuring your submission is complete. Please refer to the Instruction Manual for detailed information on how to submit the Evaluation Instrument.

Threshold Section

- Most recently completed audited financial statement (complete package)
- Single audit report (complete package) **or** the following items related to your organization's most recently completed financial statement audit:
Auditor's management letter, "Auditor's Communication With Those Charged With Governance" (referred to as an AU 260 letter), and a "Communicating Internal Control Related Matters Identified in an Audit" letter (referred to as an AU 265 letter).
- Waiver Request letter for any "No" response (if applicable) (Q1-Q5)

Additional Financial Review

- FOUR (4)** most recent Employer's Quarterly Federal Tax Returns, Form 941
- Explanatory Letter for any "No" response (if applicable) (Q1-Q3)

A. Agency Certification Checklist

No attachments necessary for this section

B. Agency Governance

- Policies and Procedures for Continuous Quality Improvement

C. Consumer Focus and Representation

- Consumer Rights documentation (Q4)
- Consumer Satisfaction Survey (if applicable)(Q7)

Cover Page Information

Agency Information

Agency Name _____

Associated HUD Project Names (include all CoC-funded projects) *Project component must be filled out for each project.*

1. _____	7. _____
2. _____	8. _____
3. _____	9. _____
4. _____	10. _____
5. _____	11. _____
6. _____	12. _____

Primary Contact Information for Agency Component

Contact Name _____ Contact Phone Number _____

Contact Title _____

Contact Address + City, St, Zip _____

Contact Email Address _____

Threshold Questions

Threshold questions must be answered affirmatively, if applicable, in order to be considered for renewal funding. If the question is applicable, and if an agency cannot answer affirmatively, an explanatory letter must be submitted for review. Reviewers may request additional information, and will determine if the agency is eligible for a threshold waiver.

- 1.** Does the agency agree to maintain the confidentiality of non-HMIS records pertaining to any individual or family who receives family violence prevention or treatment services with HUD CoC funding? Yes No
- 2.** Does the agency provide for the participation of at least one homeless or formerly homeless individual on the board of directors or other equivalent policymaking entity? Yes - Board Yes - Other No N/A – Government Agency
- If “Yes, other equivalent policymaking entity,” please describe the entity, its nature, and how the person is able to participate in the space below:*
- _____
- 3.** What is the agency’s most recently concluded fiscal year end date?

- This question is informational.*
- 4.** Does the agency have an annual financial statements audit completed within 9 months of the end of the fiscal year? Yes No
- Attach a copy of the most recently completed audited financial statement (complete package).
- All Chicago will undertake a financial monitoring process which will include a review of the attached audit.*
-

Must be completed by ALL CoC-funded projects within the Chicago CoC by March 9, 2018

5. For the most recently completed audit year, was the organization required to undergo a single (Uniform Guidance) audit? Yes

No

If yes, attach a copy of the single audit report (complete package).

All Chicago will undertake a financial monitoring process which will include a review of the attached single audit report.

If no, attach the following items related to your organization's most recently completed financial statement audit:

Auditor's management letter (if issued by your auditor).

Auditor's Communication With Those Charged With Governance, referred to as an AU 260 letter (this communication is required to be issued in connection with an audit).

A "Communicating Internal Control Related Matters Identified in an Audit" letter, referred to as an AU 265 letter (if issued by your auditor).

Additional Financial Review

For planning purposes, Chicago's CoC is developing a plan to ensure that agencies are financially stable enough to continue operating the HUD CoC grant, therefore, these questions will be used to assess all agencies. All attachments are required, though a "No" response to any of these questions will not automatically result in any action being taken. If the question is applicable, and if an agency cannot answer affirmatively, an explanatory letter must be submitted for review by All Chicago.

1. Can the agency demonstrate that it has met its payroll obligations consistently for at least the last 12 months? Yes No

Agency's **FOUR(4)** most recent Employer's Quarterly Federal Tax Returns, Form 941 are attached. **Provide 4 most recent quarterly statements** (required)

2. Can the agency demonstrate overall fiscal capacity to continue operating all of its HUD CoC grants? Yes No

3. Has the agency executed grant agreements for all of its HUD CoC grants for the term beginning in 2017? Yes No

4. Does the agency annually submit the Illinois Grant Accountability and Transparency (GATA) Internal Controls Questionnaire? Yes No

This is an informational question. In general, only agencies that receive state funding are asked to complete this questionnaire. An explanatory letter is not required for a selection of "No" on this question.

A. Agency Certification and Site Visit Requirements

The certification checklist is a way for agencies to demonstrate compliance with the standards outlined by HUD and the Chicago CoC, without having to submit the extensive documentation required in the past. The certification checklist must be completed and signed by an Authorized Representative of the agency and verify that the required standards and documentation are in place. All Chicago, in conjunction with the Service Providers Commission and the Lived Experience Commission, will be conducting site visits to selected agencies and will request the supporting documentation to support any responses below.

Grant Management

- | | |
|--|--|
| 1. Does the agency have written policies and procedures addressing internal controls to ensure that the grant funds are used in compliance with Uniform Guidance and grant requirements; to control against inappropriate use of assets; and to provide for reliable financial information with adequate documentation, and have these policies and procedures been updated for Uniform Guidance rules (effective December 2014)?. | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 2. Does the agency identify expenditures in its accounting records according to eligible program activities identified in the grant agreement? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 3. The agency compares actual expenditures for the grants with the budgeted amounts (including the amounts budgeted for each eligible expenditure category) on a regular, on-going basis per grant agreement. | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 4. The agency has cash management procedures in place to ensure that payment for project costs have already occurred, or will occur within 3 business days of the date of the deposit of grant funds. | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 5. Do the approval controls for expenditures provide reasonable assurance that appropriate individuals approve transactions in accordance with management's general or specific criteria? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 6. Are charges to the grants for salaries and wages supported by documented payrolls, timesheets and activity reports? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 7. Does the organization have a record retention policy that ensures that financial records for its grants are retained for the appropriate period of time, including a provision to retain records until any litigation, claim, audit or other action involving a grant has been resolved. | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 8. Are financial duties segregated to effectively reduce the opportunity for someone to perpetrate or conceal errors or irregularities? | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 9. Does the organization maintain source documentation to support the amount drawn down for payment request? | <input type="checkbox"/> Yes <input type="checkbox"/> No |

Staff Policies and Procedures

10. The agency has Human Resource policies in place and provides training. Yes No

11. The agency is able to provide documentation that demonstrates any of the following to support staff in providing the housing first principles:

a. On-site, ongoing support (ex: regular group supervision, regular supervision, team meetings) Yes No

b. Off-site, ongoing support (ex: from peers, roundtables, constituency groups) Yes No

Homeless Management Information System (HMIS) Policies and Procedures

12. The agency is able to demonstrate a posting of the Standard Agency Privacy Posting displayed where consumers can easily view the sign. Yes No

N/A – DV Agency

13. If the agency has a website, is the Standard Agency Privacy Practice Notice posted on the website? If Yes, please include a link to the notice here: _____ Yes No

No Website

If the answer is "No, but the notice is posted publicly," specify the location where it is posted: _____

No, but the notice is posted publicly.

N/A – DV Agency

14. The agency is able to demonstrate that all HMIS Users at the agency have signed the HMIS End User Policy and Code of Ethics. Yes No

N/A – DV Agency

Consumer Focus and Participation in Agency Operations

15. The agency has a written policy that HUD-funded services are made available to all eligible persons, according to the agency's eligibility policies, and does not discriminate on the basis of marital or familial status, political or religious belief, ethnic group identification, medical condition, sexual orientation, military status, or physical/mental disability. Yes No

16. The agency has a written process in place and is able to provide documentation that demonstrates direct consumer input to the Board or other policymaking entity (i.e. agenda/minutes where consumer input was discussed with Board representation present). Yes No

Must be completed by ALL CoC-funded projects within the Chicago CoC by March 9, 2018

17. The agency is able to provide documentation that demonstrates volunteer opportunities or other ways to engage consumers or former consumers in the community or within the agency. Yes No

18. The agency is able to provide written procedures or documentation that demonstrates how feedback received from Consumer Engagement Sessions or Consumer Satisfaction Surveys is implemented, including how staff and participants are informed of changes. Yes No

B. Agency Governance: 4 Points

It is the priority of the Chicago CoC to ensure that all agencies operate under the highest quality of standards, and continually seek to improve, as they further the goal of ending homelessness. The following questions seek to assess CoC involvement and continuous quality improvement. Questions in the Certification Checklist are also related to this category.

1. Does someone from your agency participate as an active member of any of the following committees/work groups/commissions (2017 Membership)? *If Yes, please complete chart below.*

- Yes
 No

1 point for Yes and completed chart.

Responses verified with Committee Rosters and Attendance

✓ For Yes	CoC Committee/Commission	Name of Member(s)
<input type="checkbox"/>	Chicago CoC Board of Directors	_____
<input type="checkbox"/>	System Performance and Evaluation Committee (SPEC)	_____
<input type="checkbox"/>	HMIS Committee	_____
<input type="checkbox"/>	Membership Committee	_____
<input type="checkbox"/>	Coordinated Access Steering Committee	_____
<input type="checkbox"/>	Taskforce on Homeless Youth	_____
<input type="checkbox"/>	Plan 2.0 Employment Task Group	_____
<input type="checkbox"/>	Service Providers Commission Executive Committee	_____
<input type="checkbox"/>	Service Providers Commission	_____
<input type="checkbox"/>	Collaborative Applicant Committee	_____
<input type="checkbox"/>	Charter Amendment and Interpretation Committee (CAIC)	_____
<input type="checkbox"/>	Plan Advisory Committee	_____
<input type="checkbox"/>	Advocacy Committee	_____
<input type="checkbox"/>	Constituency Groups (list name of group(s) below): _____	_____
<input type="checkbox"/>	Work Groups (list name of group(s) below): _____	_____
<input type="checkbox"/>	Subcommittees (list name of subcommittee(s) below): _____	_____
<input type="checkbox"/>	Other: _____	_____

2. The agency has standards or policies in place to ensure that continuous quality improvement processes are used to improve project operations for the following: Yes *3 points for Yes and attachments*
 No

• Assessment of project performance
• Measurable goal setting
• Data collection and monitoring
• Scheduled review of participant charts
• Correction plans if standards are not met
• Established process for reporting outcomes and performance throughout agency

Agency has attached policy or policies for all of the above (required). See Instruction Manual for details on acceptable documentation.

C. Consumer Focus and Representation: 11 Points

It is a priority of the Chicago CoC to ensure that all services reflect the expressed needs of persons who are experiencing homelessness. The CoC believes that when consumers are provided opportunities to contribute experiences and expertise related to the assistance and services that they receive, projects and the continuum are strengthened.

1. Does the agency's Board (or an equivalent policy-making entity) presently have a member who is currently housed in your project, or who is homeless, or was previously homeless within the last 10 years? Yes *1 point for Yes*
 No

2. Does the agency provide avenues for direct consumer input to the Board of Directors for the agency, other than administering a consumer survey or having active membership on the Board (or equivalent policy-making entity)? Yes *1 point for Yes*
 No

3. Describe the process for consumers to provide anonymous feedback. *1 point for completed narrative*
 Please provide a narrative that describes how the process is made anonymous and prevents negative consequences in the space below. _____

Must be completed by ALL CoC-funded projects within the Chicago CoC by March 9, 2018

4. Does the agency have a written notice that is posted/distributed to consumers, and that documents the rights of each consumer, which, at minimum, addresses and clearly describes **each** of the following items listed below: Yes No *2 points for Yes, completed checklist, and attachment*

✓ For Yes	Consumer Rights
<input type="checkbox"/>	Confidentiality
<input type="checkbox"/>	Non-discriminatory practices
<input type="checkbox"/>	Right to refuse services and have consequences, if any, explained
<input type="checkbox"/>	Prohibition of conflict of interest or code of ethics (as relates to consumer/staff relationships)
<input type="checkbox"/>	Redress and grievance process

Consumer Rights documentation attached (required).

5. Does the agency encourage consumers to participate in the day-to-day operations of the agency? If Yes, please complete the chart below. Yes No *1 point for Yes and completed chart*

✓ For Yes	Consumer Participation Activities
<input type="checkbox"/>	Weekly "house" or "floor" meetings
<input type="checkbox"/>	Elected resident councils
<input type="checkbox"/>	On-site employment opportunities for consumers (not employment services)
<input type="checkbox"/>	Off-site group and/or individual feedback
<input type="checkbox"/>	Self-led, volunteer projects
<input type="checkbox"/>	Other: _____

6. Does the agency currently (or within the last year) employ consumers or former consumers of homeless services? Yes No *1 point for Yes*

7. Does the agency regularly receive and respond to feedback from consumers? Yes No *4 points for Yes and completed narrative*
 If Yes, please first indicate how the agency receives feedback in chart (select all that apply):

✓ For Yes	Feedback Process
<input type="checkbox"/>	Selected for a 2017 Consumer Engagement Session*
<input type="checkbox"/>	Conducts at least annual consumer satisfaction surveys
<input type="checkbox"/>	Other (please specify): _____

*Agencies selected for a Site Visit in 2017 also participated in a CES. If you did not participate in a Site Visit/CES in 2017, please do not check this option.

Must be completed by ALL CoC-funded projects within the Chicago CoC by March 9, 2018

The agency must demonstrate through narrative how it responded to the feedback received through the process indicated above:

Describe at least one issue that arose from feedback. *Those participating in a 2017 CES must respond to an issue that arose from this session.* _____

How did the agency resolve the issue or how is it planning to resolve the issue if not already resolved? _____

How will the agency communicate this response to consumers? _____

If the agency checked the box for “conducts at least annual consumer satisfaction surveys”, a copy of the survey is attached.

Certification

By checking this box and entering the Authorized Representative name in the space below, I certify (1) to the statements contained in certification checklist (2) that the information throughout the application is true, complete, and accurate to the best of my knowledge and (3) all supporting documentation will be made available if selected for a site visit conducted by CoC representatives and All Chicago staff.

Authorized Representative Signature (type name and title)

Please refer to the detailed instructions for a definition of authorized representative.