


 making homelessness history
2018 CoC Monitoring Information Webinar
 Presented By: Jennifer Fabbrini, Renee Crolius & Steve Gaydos
 April 20, 2018
 1:00 – 2:00pm

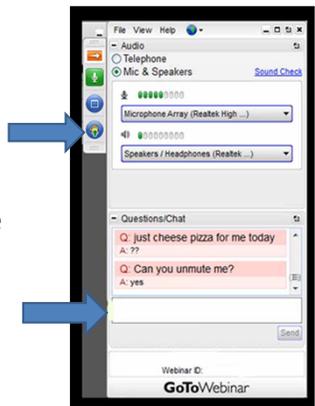
Welcome and Introductions
All Chicago’s Monitoring Team

- Steve Gaydos, Chief Financial and Operations Officer (Financial Monitoring)
- Renee Crolius, Senior CoC Program Manager (Program Monitoring)
- Jennifer Fabbrini, CoC Program Coordinator (Program Monitoring)



Housekeeping

- Webinar will be recorded and posted to All Chicago’s [Learning Management System](#).
- If you have any audio or visual issues click the “raise hand” icon
- Q&A will be at the end of the webinar
- Use Question/Chat Box to submit questions




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Agenda

- Monitoring Background
- 2018 CoC Program Monitoring Process Policy
- 2018 CoC Financial Monitoring Process Policy
- Post-Monitoring Procedures
- SurveyGizmo
- Next Steps
- FAQs


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Monitoring Background



Historical Context

- CoC Site Visits were first introduced in the 2014 HUD CoC Evaluation Process as a way to reduce the amount of documentation required to be submitted.
- Process developed by the Site Visit Subcommittee of the former HUD McKinney Vento Committee and confirmed in 2015 & 2016 by the Evaluation Subcommittee.
- Allowed for a more robust Evaluation process that aimed to support providers in their work and provide opportunities for Technical Assistance.



Need for Making Changes

- The Site Visit Process does not achieve the current HUD monitoring requirements as part of the CoC Program regulations.
- From provider & participant feedback and an analysis of the Site Visit Process, few tangible outcomes have resulted from the execution of the annual site visits.
- There is not a clear record of improvement in the subsequent years for projects that received site visits and the documentation checklist, used as the backbone to the site visits, has been unsuccessful in achieving the desired outcomes.
- Excessive administrative burden limited review capacity.

Process for Making Changes in 2018

- In February 2018, All Chicago presented pilot recommendations to SPEC and received approval to move forward with the process for 2018. SPEC will continue to provide oversight.
- In March - April, All Chicago convened 3 meetings with a Work Group composed of Service Providers for feedback on the program and financial monitoring components, tools, and policies.
- In April, All Chicago presented the 2018 Program Monitoring Policy and 2018 Financial Monitoring Policy to SPEC for final feedback.



Key Changes

- Financial monitoring is conducted separately from program monitoring.
- A different group of agencies is selected for financial and program monitoring, although there may be some overlap.
- Feedback from agencies that received Site Visits was incorporated in order to create a new 3-tier monitoring system for program monitoring that offers flexibility in completing the required tasks.



Key Changes (Cont'd)

- On-site program monitoring will only be performed to review client charts.
- Consumer Engagement Sessions and Peer Interviews have been unlinked from the monitoring process in order to expand capacity and ease administrative burden.
- Deeper review to ensure compliance with HUD/HEARTH requirements, as well as CoC and System Priorities.



Financial Monitoring Overview

- Conducted by All Chicago's Finance Department
- 10 agencies selected based upon a compliance risk score that was calculated in the 2018 Local Evaluation
- Supporting documentation of the 10 grant management questions from the Local Evaluation Documentation Checklist will be submitted electronically via Survey Gizmo for review



Program Monitoring Overview

- Conducted by 2-4 members of All Chicago's CoC Program staff and HMIS staff
- 10-12 agencies selected based on established selection criteria
- 3 monitoring methods will be utilized:
 - Self-assessment
 - Desk audit
 - On-site client file review



Evaluation Instrument Checklists

The following monitoring components draw upon the Evaluation Instrument Checklists. In these components, monitored agencies are requested to upload documentation that they indicated having on file during the Evaluation.

- Financial Review
- Program Monitoring - Desk Audit



Reminder

If you are attending this webinar because you were notified that your agency will receive monitoring in 2018, the email you received indicated whether you will receive financial monitoring, program monitoring, or both.

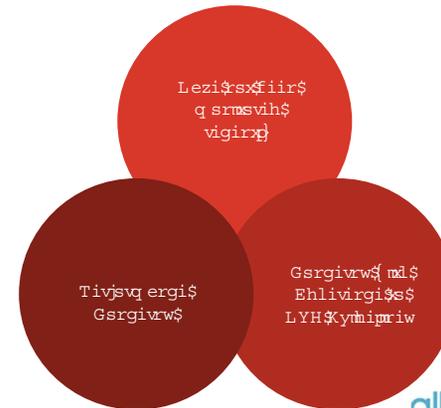
Keep in mind that the selection process and monitoring methods are different for program and financial monitoring.



2018 CoC Program Monitoring Policy



Selection Principles



Selection Criteria

The following steps will be taken in the order given until the desired number of monitoring slots are filled:

1. Any agencies that have already received a CoC site visit in the past 3 years or that will be visited by HUD in the current year will be removed from the list of potential agencies to monitor.
2. Select any projects from those that are remaining that are 2 standard deviations below the mean in the 2018 Local Evaluation preliminary combined score.
3. Select any agency that was flagged in the local evaluation for a housing first compliance concern (i.e., scored a 0 or received a policy consideration on the housing first system priorities question).
4. Select any agency that had projects scoring in the bottom 10 in the 2017 and 2018 local evaluations.
5. Select any agency that had a project scoring in the bottom 10 in either 2017 or 2018 and had a coordinated entry participation concern in the 2018 local evaluation (i.e., did not fill any turnover units with CES referrals).
6. Randomly select agencies in equal numbers from the lowest third, middle third, and top third of 2018 local evaluation scores.



New Concept: Self Selection

- 2 program monitoring slots will be used for agencies that self-identify interest in being monitored
- Complete the [Self Selection Form](#) if your agency would like to be considered
- Deadline for self selection consideration: May 15

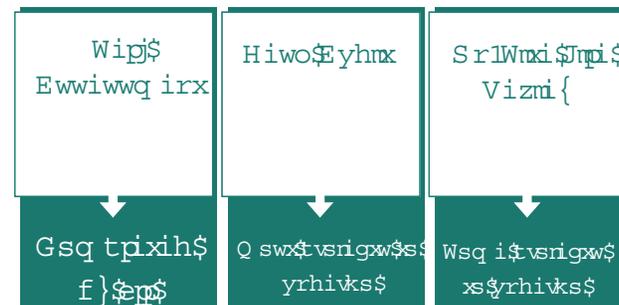


Additional Selection Considerations

- If HUD requests All Chicago to monitor an agency due to a particular concern that arises, the agency will be selected.
- If no slots are filled through self selection, All Chicago will use the established criteria in the policy to make additional selections.



Methods



Determining Methods

- All agencies will complete the self assessment.
- Most, if not all, agencies will receive the desk audit.
- All Chicago will determine which projects will receive an on-site client file review based on staff capacity, the goal of piloting the review for each program type, and consideration of the selection reasons.



Self Assessment

- To be completed in SurveyGizmo
- Opportunity to reflect, identify strengths/weaknesses, develop steps to improve local evaluation score
- Topics include: intake & termination procedures, data collection & quality, staff development, policies, procedures, and services
- Not punitive, i.e. no findings will be generated from the self assessment



Desk Audit

- To be completed in SurveyGizmo
- Projects asked to submit documentation to support 20 questions that are answered in the Local Evaluation Checklists
- Topics include: staff policies and procedures, HMIS policies and procedures, consumer focus and participation, grant management, housing quality and standards, resource linkages, supportive services, record retention, etc.
- When submitting manuals, highlight applicable sections
- Findings, i.e. items that could not be verified, will be noted in the summary report.



On-Site File Review

- All Chicago will schedule a date to complete the file review on site at the agency
- 6-10 client files
- Focus on appropriate documentation for eligibility, housing, and supportive services
- Cross reference with HMIS for areas such as consent, enrollment, move-in dates, housing status, income
- Findings, i.e. items that could not be verified, will be noted in the summary report.



2018 CoC Financial Monitoring Policy



Selection

- Compliance Risk Assessment was included as part of the 2018 Evaluation Instrument Agency Component
- Agencies received risk score in preliminary agency scorecard
- Agencies with a compliance risk score above 10 will be chosen for financial monitoring because this score means:
 - The agency was not identified as low-risk by their independent auditor
 - The audit conducted by the agency’s independent auditor resulted in findings
- Note: The agencies may have received a site visit from All Chicago in the last 3 years & may be receiving a visit from HUD in 2018



Risk Assessment

Risk Scale: 0 = lowest risk

Criteria	Risk Points:
Single Audit Required *	0 if yes, 5 if no
Financial Statement Review:	
• Financial Statements audited within 9 months	0 if yes, 10 if no
• Auditor's report	Unmodified = 0 Qualified = 5 Disclaimer = 10 Adverse = 25
• Internal controls over reporting:	
# of material weaknesses	5 points per item
# of significant deficiencies	1 points per item
# of instances of material noncompliance	5 points per item
Federal Awards:	
• Internal controls over major programs:	
# of material weaknesses	10 points per item
# of significant deficiencies	2 points per item
Single Audit auditor's report	Unmodified = 0 Modified = 10
• 2 CFR Section 200.516(c) Disclosures	
# of findings	10 points per item
• Low Risk Auditee?	0 if yes, 10 if no
941s	0 if submitted 10 if not submitted



Method

- Supporting documentation of the 10 grant management questions from the local evaluation documentation checklist will be submitted via SurveyGizmo
- The agency will be contacted 2 weeks prior to when the monitoring will occur. We will provide a deadline, SurveyGizmo link, and window for receiving feedback from All Chicago.



Documentation Requested:

1. Written Financial Policies and Procedures Manual
2. Most recent expenditure report for largest CoC grant, or for the project receiving program monitoring by CoC team
3. Most recent budget to actual report for largest CoC grant, or for the project receiving program monitoring by CoC team (this report may be combined with item #2.)
4. 1 voucher request package (for month identified by All Chicago), including supporting documentation for all requested items.
5. Bank statement for month identified by All Chicago
6. 1 payroll register (for month identified by All Chicago), with time sheets and activity reports for all employees charged to CoC grant.
7. File retention policy
8. Finance department organization chart
9. Submit Segregation of Duties Control grid if agency has one, otherwise complete Segregation of Duties Control grid provided by All Chicago
10. LOCCS activity printout for each CoC grant for the most recently completed grant year (12 month draw period)



Post-Monitoring Procedures

For Both Financial & Program Monitoring



Summary Report

- All Chicago will provide feedback in the form of a monitoring summary report to the agency within 2-3 weeks of the conclusion of monitoring activities.
- Findings from the desk audit, on-site client file review, and/or financial review will be reported and the agency will be expected to make necessary corrections or updates.



Technical Assistance

- All Chicago will work with the agency to identify areas of need.
- If areas of need are identified, TA will be conducted within 1 month of the conclusion of monitoring activities.
- Types of TA could include: referrals to workshop or training opportunities, sample tools or templates, feedback to help strengthen the agency's tools, templates, or policies, HMIS guidance, and referrals to articles and outside experts.
- Work plans will outline areas for improvement, action steps, goals, timelines for adjustment, and progress.
- TA will be provided through a combination of phone calls, in-person meetings and online sharing of resources.



Evaluation

- Feedback surveys will be sent to the agency after the conclusion of each monitoring component and after the conclusion of TA.
- After the next local evaluation, an additional survey will be sent to help determine the impact of the TA on evaluation score increases or decreases.
- The work group will be reconvened at the end of the year to review and provide input.
- Adjustments will be made to the process for the following year.



SurveyGizmo Tools



Save and Continue

Save and continue later

Please supply an email address to save your progress. A unique link will be emailed to you that will allow you to return where you left off.

Email:

Verify Email:



Upload Files

Agency Component Grant Management Checklist

1. The agency has written policies and procedures addressing internal funds are used in compliance with Uniform Guidance and grant requirements; inappropriate use of assets; and to provide for reliable financial information and these policies and procedures been updated for Uniform Guidance.

Required Attachment:
Written Financial and Policies and Procedures Manual or similar document(s) *



Browse...



Review and Download PDF

2018 Financial Review Tool

Review and Download PDF

Click below to **review a PDF** of your responses before clicking submit. Please download and save this PDF

5. Comments and feedback

11. Thank you for submitting policies and documentation for your review. If you are having trouble reviewing your documentation and providing feedback, please contact Steve Gaydos at sgaydo@allchicago.org. If you have any questions or need more information about the process or timeframe, please contact Steve Gaydos at sgaydo@allchicago.org.

Provide additional comments or questions below.

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Next Steps

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Time Frame

- Monitoring will occur in April - October 2018
- Agencies selected for 2018 monitoring were notified this week. Within the next 1-2 weeks, All Chicago will notify agencies of the month and deadline of their monitoring.
- Additionally, All Chicago will inform agencies that are receiving program monitoring if they have been initially determined to receive a desk audit or on-site client review.
- Agencies interested in self selecting must do so by May 15th.

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Preparing for Monitoring

- Review monitoring policies and tools.
- Review most recent Evaluation Instrument submissions and scorecards.
- **Locate documentation needed to verify items in the checklists.**
- Inform applicable staff that the project has been selected for 2018 monitoring and share the recorded webinar.
- Reserve space for reviewers to review client files, if applicable.
- Communicate any questions or concerns to All Chicago.

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Frequently Asked Questions



Frequently Asked Questions

How do I schedule my monitoring review?

- All Chicago staff will send email notification to the agency in 1-2 weeks to establish methods, dates, and deadlines.



Frequently Asked Questions

How long will the on-site file review take?

- All Chicago staff will request to be on-site for a full 8 hours to review client files, but it could take more or less time depending on the project.
- It will not be expected for staff to review client files with the reviewers.
- All Chicago will provide the agency with a list of Client IDs 1-2 days before the review.



Frequently Asked Questions

How will monitoring affect my project's Evaluation Instrument scores?

- Findings from the monitoring review will not have any direct bearing on your 2018 Evaluation scores.
- In some years, the HEARTH Funding Opportunities Task Group has considered the results of Site Visits along with overall Evaluation scores when determining ranking priorities.



Resources

- All Chicago monitoring website:
<https://allchicago.org/continuum-care/monitoring>
- Renee Crolius at Rcrolius@allchicago.org or
312.379.0301 x42
- Jennifer Fabbrini at JFabbrini@allchicago.org or
312.379.0301 x30
- Steve Gaydos at sgaydos@allchicago.org or
312.379.0301 x18



Additional Questions?

Thank you!

