



2018 Monitoring Process Policy - CoC Program Component

Introduction:

In previous years, the site visits conducted by the Chicago CoC have included three components: documentation reviews, peer interviews, and consumer engagement sessions. All Chicago proposed to SPEC that the peer interviews and consumer engagement sessions should be unlinked from the site visit process. In addition, the proposal included changing the terminology from site visits to monitoring, since not all reviews will include an on-site visit moving forward. All Chicago supports developing independent structures for the peer interview and consumer engagement session components to improve and expand them. Therefore, the monitoring process below focuses on All Chicago's plan to pilot a three-tier monitoring system that will replace the previous documentation review component. The goal of the plan is to develop a process that will align with HUD monitoring requirements and result in a clear record of improvement for projects that receive monitoring. Additionally, where possible, the process is intended to proactively assist projects. This is a shift from the previous monitoring process which was primarily reactive.

Timeline:

Monitoring will begin in April, and will continue through October. There will be a minimum of 10 monitoring visits completed in 2018, with a goal of completing 12. All Chicago will determine the frequency and number completed each month based on staff capacity.

Team Roles and Responsibilities:

Monitoring will be conducted by a team of 2-4 :

- 1-2 Programs Staff: To perform desk audit and/or on-site file review.
- 1 HMIS Staff: To perform HMIS audit and/or on-site file review.

Selection:

All Chicago personnel shall complete 12 monitoring visits by the end of 2018. Starting in April, All Chicago will use the process outlined below to identify 10 agencies for monitoring and evaluation. The reason these criteria have been established is because they enable All Chicago to determine agencies that either 1) exhibit performance concerns, 2) exhibit concerns with adherence to HUD required guidelines, or 3) have not been monitored recently. The following steps will be taken in the order given until the desired number of monitoring slots are filled:

- First, 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.
- Second, select any projects from those that are remaining that are 2 standard deviations below the mean in the 2018 Local Evaluation preliminary combined score.



- Third, 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).
- Fourth, select any agency that had projects scoring in the bottom 10 in the 2017 and 2018 local evaluations.
- Fifth, 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).
- Sixth, randomly select agencies in equal numbers from the lowest third, middle third, and top third of 2018 local evaluation scores.

If a project that has a sub-recipient is selected for monitoring, All Chicago will work directly with the recipient and the recipient will be responsible for gathering information and responding to All Chicago.

All Chicago will reserve 2 of the 12 monitoring slots for agencies that self-identify interest in receiving a monitoring visit. All Chicago will develop a SurveyGizmo tool that will be used to seek input from agencies by mid-May on whether they want to be considered for one of these final two monitoring slots. Additionally, the remaining slots could be filled if HUD asks All Chicago to monitor an agency because a particular concern has arisen.

If slots are filled through self-selection, priority will be given to any agency that hasn't received a site visit in the past three years. If no agencies express interest in self-identifying for a monitoring visit, All Chicago reserves the right to identify two additional agencies by following the process outlined above.

Method:

All Chicago will utilize three different monitoring methods: self-assessments, desk audits, and on-site file reviews. Every project that is selected for monitoring will be required to complete a self-assessment tool, but not every project will be required to complete a desk audit or on-site file review. The organization's method of monitoring will be determined based on a review of the agency's local evaluation, including the scorecards and checklist completed during the evaluation process. Projects may be subject to all three of the methods. If more than one project is selected from a single agency, the agency will only be asked to complete the self-assessment and desk audit (if applicable) once, but an on-site file review may be conducted for multiple projects.

- **Self-assessment:** The self-assessment will be an opportunity for the project to reflect on performance related to practices that are priorities in our community. For example, it may include topics such as compliance with Housing First principles, Coordinated Entry, staff development and training, and data collection and quality



improvement. The self-assessment will also encompass a review of the agency and project scorecard from the most recent Evaluation Instrument. If applicable, agencies will be asked to identify steps they will take to improve local evaluation scores, which may include seeking technical assistance (TA) from All Chicago. Following completion of the tool, the project will set up a call with All Chicago to review the answers. The tool will not elicit findings. The tool is an opportunity for the agency to self-evaluate their project and discuss areas of possible TA with All Chicago.

- **Desk audit:** The desk audit will include 20 questions from the local evaluation documentation checklist; including areas such as staff policies, HMIS policies, trainings, best practices, and consumer focus. The desk audit will require projects to submit supporting documentation (with sections highlighted) to All Chicago via SurveyGizmo.
- **On-site file review:** Projects may be selected for an on-site file review from the outset or it may be determined during the self-assessment and desk-audit review that the project may further benefit from an on-site file review. The on-site file review will not exceed a review of 10 client files with a minimum of 6 client files. The review will focus on ensuring appropriate documentation is in the file for eligibility, housing, and supportive services. A cross reference between the physical files and HMIS database will also be performed for areas such as consent, enrollment and move-in dates, housing status, and income.

Documentation:

Preparation documents will be provided to agencies two weeks prior to monitoring method.

- Self-assessment: Agency will receive self-assessment form, deadline, SurveyGizmo link, and deadline window to receive feedback from All Chicago.
- Desk audit: Agency will receive checklist of items to submit from evaluation instrument certification checklist, deadline, SurveyGizmo link, and deadline window to receive feedback from All Chicago.
- On-site review: Agency will receive file review form and date options for file review day.
- General guidelines for preparing for the monitoring component.

Each monitoring team member will be responsible for writing up their own feedback within one week of completing a monitoring visit or initial evaluation of provided documents. An All Chicago staff member will collate the feedback into a final monitoring report.

Monitoring feedback will be presented to the agency within 2-3 weeks of the monitoring deadline. Technical assistance (TA) sessions will be planned and scheduled at this time, and will be conducted within one month of the monitoring visit. A follow-up survey will be conducted following the completion of each monitoring visit and when the TA is completed.



Technical Assistance:

Following the completion of the required monitoring component(s), the persons who conducted the monitoring will meet to discuss feedback from the respective areas and determine opportunities for Technical assistance (TA). Based on the follow up discussion and completed monitoring report, TA may be offered by All Chicago staff in areas that include, but are not limited to: policies/procedures, best practices, program performance, consumer focus, etc.

TA will be provided by those who conducted the monitoring, depending on identified areas of need. A work plan will be created by the TA providers and the agency receiving the TA outlining areas of concern, goals, action steps, timelines for adjustments, and progress. The work plans will focus on identifying measurable changes or improvements.

A year after the completion of the TA process, when the monitored agency has completed another year of the local evaluation, the agency will be asked to complete an additional follow-up survey with questions that will help determine the impact of the TA on the score's increase or decrease.

Evaluation:

All Chicago staff will conduct an end-year evaluation of the process, including a review of the various methods and follow-up surveys. Adjustments can be made to any part of the process for the following year based on the information provided in the surveys completed by the monitoring recipients. As much as possible, All Chicago will refer to measurable results, including changes in evaluation instrument scores, to determine the impact of the monitoring that was conducted. Following the end-year evaluation, All Chicago will identify best practices and make recommendations for any adjustments needed to the next year's process. The work group that was convened to provide advice on the planning of this process will also be reconvened at the end of the year to review and provide input on any necessary changes.