2018 CoC Competition Evaluation Instrument

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

[INSTRUCTION MANUAL]

2018 Evaluation Instrument Instruction Manual

*Due on March 9, 2018**

Table of Contents

* Note that the due date of March 9, 2018 may be changed to an earlier date pending HUD Application release.

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*Due on March 9, 2018**

Introduction

Annually, the US Department of Housing and Urban Development (HUD) provides funding for homeless programs authorized under the Homeless Emergency Assistance and Rapid Transition to Housing (HEARTH) Act through a Continuum of Care (CoC) Notice of Funding Availability (NOFA) process. In order to submit an application to HUD for renewal funding, the Chicago CoC requires all projects to submit a local application for evaluation to determine renewal status. The evaluation process helps ensure a high standard of quality for renewal applicants, and may also be used to make funding reallocation decisions at the local level. After the local application submission, renewal applicants may be invited to submit a HUD application once the NOFA is released.

In Chicago, the Chicago CoC Board of Directors is the group of community stakeholders that sets local priorities for the CoC HUD funding. The CoC Board charges the System Performance and Evaluation Committee (SPEC) with responsibilities of the local evaluation process. SPEC, through an Evaluation Instrument Subcommittee, has designed one application process for all CoC-funded projects that will evaluate project and agency performance on the past calendar year to ensure successful execution going forward. **Please note that renewal funding is not guaranteed upon submission of the Evaluation Instrument.** For more information on how Evaluation Instrument scores are used for renewal status, see the Ranking Process section below.

This instruction manual provides information on the Chicago CoC local evaluation process for CoC-funded projects. The evaluation process is administered by All Chicago, as the Collaborative Applicant, on behalf of the CoC Board. Please note that applications for new (not renewal) funding will be handled through a separate application process. Please contact All Chicago staff at CoCPrograms@allchicago.org for information on the new project application and selection process.

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Evaluation Process

Who Should Submit an Evaluation Instrument?

All CoC Projects that have been previously funded through the FY17 Chicago CoC Competition process are eligible to apply as a renewal in FY18. **An instrument should be submitted for all CoC-funded projects that were operating between January 1, 2017 and December 31, 2017. Former Shelter Plus Care (S+C), also known as Long Term Rental Assistance (LTRA), projects that are not up for renewal, but were operating in 2017, must complete the Evaluation Instrument.** Note: If your agency consolidated (or merged) two of your projects into one project with HUD approval during the 2017 calendar year, you will submit 1 project application but will utilize data from both projects. Areas of the application where this is required will be noted. HUD CoC and Chicago Program Models are outlined in the chart below; any project that receives HUD CoC funding in these categories must submit an Evaluation Instrument.

HUD CoC Program Component Type	Chicago Program Model
• **Permanent Supportive Housing (PH)** o **Long-Term Rental Assistance (LTRA), formerly Shelter Plus Care (SPC)**	• Permanent Housing - Permanent Supportive Housing (PSH)
• **Transitional Housing (TH)**	• IH - Interim Housing (IH) • PH - Permanent Housing with Short Term Supports (PHwSS) • Youth TH – Project Based or Scattered Site Transitional Housing
• **Supportive Services Only (SSO)**	• Engagement Services (various types)
• **Safe Haven (SH)**	• Safe Haven
• **Rapid Re-housing (RRH)**	• Rapid Re-housing
• **Coordinated Entry**	• Coordinated Entry Project SSO -1 • Coordinated Entry Project SSO – 2 • Coordinated Entry Project - CRS

Evaluation Criteria and Purpose

The System Performance and Evaluation Committee (SPEC), and Evaluation Tool Subcommittee are responsible for developing a tool to evaluate performance of CoC funded projects on an annual basis. The purpose of the Evaluation Instrument is to:

- Secure additional and ensure efficient use of resources
- Implement Chicago's Plan to End Homelessness (Plan 2.0)
- Improve Chicago's homeless system service delivery and outcomes, and
- Communicate community priorities.

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2018 Evaluation Instrument Instruction Manual

*Due on March 9, 2018**

The 2018 Evaluation Instrument has two components, comprised of 9 sections, which are outlined in the chart below along with their corresponding point allocations.

NEW: The total scores vary between project types because the Evaluation Tool Subcommittee and the System Performance and Evaluation Committee decided that the way various questions are weighted in relation to each other should not be restricted by an arbitrary set total of points. Instead, with this method the weighting is defined by system priorities and the relative importance of each metric within each different project type.

Evaluation Instrument Section	Points in Agency Component	Points in Project Component	Total Points Allocated
Threshold	No points – Required for Renewal		
Additional Financial Review	No points – Required for Renewal		
Agency or Project Certification and Site Visit Requirements	0	0	0
Agency Governance	4	-	4
Project Operations	-	6	6
Homeless Management Information System (HMIS) Implementation and Data Quality	-	14	14
Consumer Focus and Representation	11	-	11
Project Performance and Consumer Outcomes	-	11-31	11-31
System Priorities	-	11	11
Totals	**15**	**42-62**	**57-77**

The Evaluation Instrument is updated each year to ensure it is in line with the HEARTH Act, the Federal Strategic Plan to End Homelessness – *Opening Doors*, and Chicago's Plan to End Homelessness – Plan 2.0. **The Evaluation Instrument Subcommittee understands that projects may need time to come into alignment with any changes, and makes this consideration when updating the Instrument each year. However, agencies should make efforts throughout the year to stay informed of continuum policies and priorities to ensure compliance with requirements.**

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2018 Evaluation Instrument Instruction Manual

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Summary of Changes for 2018:

Agency Component
Threshold
• Agencies must attach the most recent annual financial statements audit, single (uniform guidance) audit report, and identify the fiscal year end date.
Additional Financial Review
• Agencies are asked to demonstrate if they were able to meet payroll obligations in the last 12 months instead of 6 months and attach four quarterly statements. Agencies no longer need to submit the 990 IRS Form. • Added a new information question to ask if the agency submits an Illinois GATA questionnaire.
Checklist
• Grant management questions are revised to align with language/requirements used by HUD. • Removed 2017 Question 8 (written documentation of staff rules and regulations), Question 10 (written staff evaluation process), and Question 11 (policy on staff participation in supervision). • Revised the Human Resources policy question to become broader and remove subparts.
Agency Governance
• No changes.
Consumer Focus and Representation
• Reduced from 13 to 11 points.
Project Component
Threshold
• New questions added to ask if the project participates in Coordinated Entry, is in compliance with the Final Rule on Gender Equity, and is in compliance with the Final Rule on the Violence Against Women Act. • Removed 2017 Question 4 (project operating consistently with Chicago's Program Model Chart).
Checklist
• Revised the question about drawing down funds from LOCCS to remove clause that says SPC (LTRA) Projects submit monthly vouchering. • The ADA question is revised to ask if the project is taking steps to come into compliance. • The housing inspection question is revised to ask if the project is able to provide documentation of completed inspection reports and has a written policy that includes the frequency of inspections. • Added a question to confirm if the agency has documentation demonstrating topics and attendance of staff development trainings in Housing First Principles, HUD Definitions of Homelessness, HUD Chronically Homeless Definition, and Chicago's Continuum of Care. Removed the Environmental Review question. • Removed 2017 Question 10 (demonstrate use of Stages of Change model).
Project Operations
• Revised the funds expended question to allow the project to identify if the reason was due to the project being new, merged, or transfer.

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- Moved the question about written discharge policies from checklist to project operations.
- Increased the section from 3 to 6 points.

HMIS

- Requested 3 Quarterly Data Quality Assessment reports instead of 4 due to new HUD data standards.
- Reduced the section from 17 to 14 points.

System Priorities

- Revised the question about serving the chronically homeless to measure households instead of people.
- Added a new informational question to determine how many unit vacancies were filled using CES during the time period of 9/1/17 to 12/31/17.
- Added a new informational question to ask the average number of days from match to housing and provide an explanation of high averages that occur.

Project Performance

- Revised to measure "households" instead of "program participants" for all project types.
- For PHwSS, revised the question about exiting to permanent housing to clarify that the question refers to households who have been in the program for at least one year or exited during the year.
- For PSH, revised the question about participants remaining permanently housed for 12 months to add the words "or exited to permanent destinations within the first 12 months of enrollment."
- For PSH, revised the question about program participants who left the project to add the words "who have been in the project for at least 12 months."
- Created a separate section for Safe Haven projects.
- Added a new informational question for Engagement Services SSO projects to ask the percentage of enrolled participants who have completed CES assessments or observed CES assessments.
- Added a new informational question for RRH to ask what percentage of households who exited to permanent destinations did not return to homelessness in the following 12 months.
- Created questions for Coordinated Entry Project Types (SSO-1, SSO-2, CRS).
- For all project types, added a new question to ask what percentage of adult program participants have health insurance.
- Adjusted points for all project types – the amount of points possible varies by project type.
- Removed scoring based on percentiles.

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Deadline & Submission Requirements

All Evaluation Instruments are due to All Chicago by 5:00pm (CST) on March 9, 2018. Agencies will be submitting their Evaluation Instruments online via Surveygizmo.com. Paper copies will not be accepted this year, unless in the case of extreme hardship for the agency (*See Appendix: Submission Policies*).

Online Submission

Since 2014, the CoC has approved the use of Surveygizmo.com for the purposes of the Evaluation Instrument submissions. Surveygizmo.com is an online survey building software that allows us to streamline the submission process and significantly reduce the amount of time spent by both All Chicago and agencies. Submission of the agency and project components will only be accepted via the online survey method, unless prior arrangements have been made with All Chicago for extreme hardship.

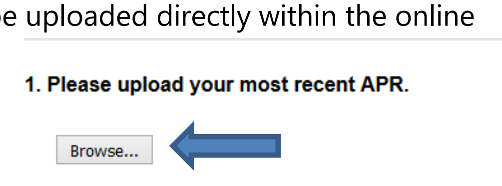
Agency Component: The Agency component will be submitted here: http://bit.ly/2GmFnbP. You will need to submit one survey for your agency.

Project Component: The Project Component will be submitted here: http://bit.ly/2DJHYLi. You will need to submit a survey for each project that meets the criteria indicated on Page 3 of this Instruction Manual.

Below are some Helpful Tips to guide you in completing your Evaluation Instruments:

- Some required questions will be indicated with an asterisk (*) next to the question. You will not be able to continue to the next page of the survey without answering these required questions. It is not recommended that you enter inaccurate answers in order to move to another section of the survey. If you need to review the questions, please see the PDF version Agency Component and the Project Component of the Evaluation Instruments. **We recommend completing the online survey only once you have retrieved all of the necessary information and have all of the required documents ready to upload.**

- Questions that require an attachment are identified in this instruction manual in **blue** and indicated with this symbol: 🗎. All attachments must be uploaded directly within the online survey, using the naming conventions indicated in the question. You will need to click *Browse* to find and select the document on your computer and the document will upload automatically. A grey bar will appear when the file has been uploaded. You may select the red "x" on the right to delete an attachment.



  If you are having difficulty uploading a document, please first ensure you are uploading in the indicated file type (pdf, excel, etc.). Next, please check that the file is compressed as needed (i.e. A PDF file should be a text file, rather than an image file, which significantly increases file size. Check the settings on your scanner/computer/copier). The file size limits provided are generous.

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If your file is still over an indicated file size limit, you may need to utilize an online method for compressing the file.

- You will be able to save and return to continue your survey by clicking the link at the top of your screen. Enter your email address and a unique link will be sent to you. <u>You will only need to do this once.</u> Your responses are saved each time you move forward/backward in the survey.

  CLICK HERE TO SAVE AND CONTINUE LATER

  Be sure to check your email prior to leaving the survey to ensure you have received the link! All Chicago will not be responsible for retrieving surveys sent to incorrect email addresses. If you cannot locate a link, you will need to restart the survey.

  Tip: Save the email to your computer with the Project Name as the file name for easy retrieval later. As a reminder, it is not recommended that you enter the online survey before you have retrieved all necessary information to complete the survey.

- We recommend using **Firefox** or **Google Chrome** as your browser when working with SurveyGizmo. Please see the following from the Survey Gizmo site:

  *"SurveyGizmo tests and supports use of our application in all major browsers including **Google Chrome, Firefox, Safari, and Internet Explorer11.** We recommend always keeping your browser up to date with the most current version to ensure continued compatibility. Older versions of supported browsers might present quirks or inconsistencies when compared to their up-to-date counterparts.*

  IE users using high security settings (generally between medium-high to high depending on the version) might run into issues when using the SurveyGizmo application. High security settings may block JavaScript which SurveyGizmo uses to make the application interactive."

Application Review Process

All Evaluation Instruments and supporting documentation are reviewed by members of All Chicago staff. Preliminary results will be distributed after all Evaluation Instruments have been reviewed, and agencies will have an opportunity to appeal any score they believe is incorrect (see Appeals section below).

Scoring

All questions in the Instrument will be indicated as one of the following:

Threshold: Must be answered affirmatively in order to be eligible for renewal funding. Projects not answering affirmatively must submit a letter of explanation to obtain a Threshold waiver.

Scored: Points are allocated based on the scoring criteria noted for each question. Not all projects are scored on all questions and not all projects are eligible to receive all points possible.

Informational: Questions listed as such are used only for informational purposes and will not contribute to the project's overall score.

Each question on the Evaluation Instrument indicates whether supporting documentation or narrative response is required for the answer to be considered complete. **Incomplete answers on the Evaluation Instrument will result in a loss of points for that question.** Due to the online survey format being utilized, agencies will most often not be able to move forward in the survey with unanswered questions or missing attachments. As stated earlier, required questions will have to be answered and required documents will need to be uploaded in order to continue with submission. However, not all questions that should be answered are indicated as required in the survey. Be sure you have completed all *parts* of a question and have completed all narratives requested, as you may be able to submit without finishing a question. **It is advisable to carefully and thoroughly review all answers and ensure all documents uploaded are correct prior to submitting. Scores will be based on what is submitted only.** For policies related to missing, late, or multiple submissions, please see *Appendix: Submission Policies.*

For the 2018 Evaluation, scoring for the Performance and Consumer Outcomes questions will be based on outcomes and benchmarks outlined in the Program Models Chart (2014). Please see the Scoring Guide and FAQ for more detailed information on performance scoring.

Appeals Process

The Evaluation Instrument and Instruction Manual are developed by the Evaluation Instrument Subcommittee of the System Performance and Evaluation Committee (SPEC) utilizing an annual community-wide input process, as well as, conducting an annual quality improvement process. Though the annual processes, the Evaluation Instrument Subcommittee strives to produce a clear, fair and useful local Evaluation Instrument.

All renewal projects will be able to appeal their scores. Instructions for the appeal will be included in the email announcing the agency and project's preliminary scores. Note that no new attachments or supporting documentation, except for appeals on threshold questions, will be considered during the

Appeals Process, unless specifically requested by All Chicago staff. Please see Appendix: Submission Policies for more information on the Technical Deficiencies Policy for missing attachments.

All Chicago will review and score the Evaluation Instrument submissions in accordance with the Evaluation Instrument Instruction Manual's policies and procedures. A preliminary "scorecard" will be sent to agencies within three weeks of the Evaluation Instrument final submission date. After reviewing the scorecard, agencies will be able to appeal their scores in accordance with the Appeals procedure outlined in Article 13 of the CoC Governance Charter. All appeals will be reviewed by All Chicago. Agencies may submit appeals based on scoring or data errors **only**. Scoring appeals must be based on erroneous scoring, but all threshold appeals are accepted.

The role of All Chicago in reviewing appeals is to ensure scoring or data errors are identified and corrected, therefore not negatively impacting the agency's score.

The role of the Collaborative Applicant Committee in reviewing appeals will be to ensure All Chicago's appeal followed the Evaluation Instrument instructions and the CoC Charter guidelines.

The role of the Appeals Panel of the CoC Board of Directors' in reviewing appeals will be to ensure All Chicago's and the Collaborative Applicant' Committee's appeal denials had followed the Evaluation Instrument instructions and the CoC Charter guidelines. This is the final opportunity to appeal. All decisions by the Appeals Panel of the CoC Board of Directors are final.

Agencies must use the 2018 Evaluation Instrument Appeal Form (see appendix) for each individual appeal (threshold and non-threshold). Failure to use the form or failure to complete it thoroughly will result in an automatic denial of the appeal. Agencies may not skip any step in the process listed below. Failure to complete a step will result in an automatic denial of the appeal.

The Appeals Process includes the following:

Step 1: All Chicago releases initial scorecards to agencies for each of their projects on March 23, 2018. Agencies can appeal scores to All Chicago (Collaborative Applicant) utilizing the 2018 Evaluation Instrument Appeal Form (see appendix);

Step 2: Agencies receive appeal decisions from All Chicago, and if so desired, they may appeal to the Collaborative Applicant Committee utilizing the 2018 Evaluation Instrument Appeal Form (see appendix) by April 18, 2018;

Step 3: Agencies receive appeal decisions from the Collaborative Applicant Committee, and if so desired, they may appeal to the Appeals Panel of the CoC Board of Directors utilizing the 2018 Evaluation Instrument Appeal Form (see appendix) by May 11, 2018. Decisions by the Appeals Panel are final.

If an agency missed a deadline to appeal, then the agency should explain in the narrative section of the appeal form why the appeal deadline was missed.

Special Note: Throughout 2017, extensive good faith efforts were made to gather feedback from the service provider community to ensure a fair and balanced Evaluation Instrument was developed for the 2018 evaluation process. Therefore, philosophical disagreements or wording of questions will not be grounds for appeals. Agencies wishing to express their dissatisfaction about questions based on philosophy or wording are encouraged to express their concerns at a meeting or in writing to the Evaluation Instrument Subcommittee and/or System Performance and Evaluation Committee (SPEC).

Timeline and Steps for the Appeals Process:
All Chicago, the Collaborative Applicant Committee and the Appeals Panel of the CoC Board of Directors have developed per the CoC Charter Guidelines the following timeline regarding the appeals process and have agreed to follow this timeline. Dates are subject to change. The CoC will be notified of any changes.

Steps	Deadline
Evaluation Instrument Released	2/12/18
Evaluation Instrument Due	3/9/18
Preliminary Scores Released	3/23/18
Deadline to Appeal to All Chicago	4/2/18
All Chicago Responds to Appeals	4/13/18
Deadline to Appeal to CAC	4/18/18
CAC Responds to Appeals	5/9/18
Deadline to Appeal to BOD	5/11/18
BOD Responds to Appeals	5/25/18
Final Scorecards Released	6/1/18

Note: The date that final scorecards are released is dependent on the number of appeals. If all appeals are resolved in a timely manner, it is possible that final scorecards could be ready ahead of the 6/1/18.

Ranking Process

The CoC Board (and relevant committees or sub-committees) will establish the 2018 Ranking Policies upon release of the Notice of Funding Availability (NOFA) from HUD. Evaluation Instrument scores are one factor among many considered when determining the Ranking Policies. A copy of these policies will be distributed when they are approved. Once the FY18 HUD CoC Program Competition begins, all projects will be notified of their ranking status.

Evaluation Instrument Resources

Technical Assistance & Questions

All Chicago will be holding two trainings for the 2018 process; one webinar format and the other in-person. All CoC funded projects are strongly encouraged to attend at least one training. Please limit attendance to the person(s) who will be completing the Evaluation Instrument on behalf of your agency:

- **Webinar Training (Advanced):** This training will be tailored to those who have submitted Evaluations in the past and who just need an overview of the 2018 process, including changes for this year. This training will be on **February 12, 2018, 1:00-2:30pm.** Please use All Chicago's Learning Management System (LMS) to register. Instructions for registering as a user with the LMS are available on the All Chicago Training Webpage.

OR

- **In-Person Training (Beginner):** This training will be tailored to those who have less experience submitting an Evaluation and who would like more detail on the submission process. Space will be limited. This training will be on **February 14, 2018, 1:30-4:00pm.** Please use All Chicago's Learning Management System (LMS) to register. Instructions for registering as a user with the LMS are available on the All Chicago Training Webpage.

A Power Point presentation is available as a resource that provides technical assistance regarding the use of Survey Gizmo. Within these slides you can find information about navigating through Survey Gizmo, utilizing the "save and continue" feature, uploading files, and other tips and tricks. You can navigate through these slides at your own pace or use them to search for assistance on a particular technical issue. Access the slides through the Learning Management System (LMS). After logging into the LMS, search for and launch the course called "2018 Evaluation Tool Survey Gizmo Technical Assistance." Find instructions for using the LMS http://www.allchicago.org/training.

All Chicago staff will also be available to respond to questions and provide technical assistance. However, agencies are highly encouraged to consult the full Instruction Manual and FAQs prior to contacting All Chicago, as questions are often already answered.

For all questions regarding the 2018 Evaluation Instrument process, please contact All Chicago staff at CoCPrograms@allchicago.org or 312-379-0301.

Business Hours are from 9am to 5pm, Monday through Friday. Please allow 24-48 hours for a response.

Other Helpful Resources

All Chicago Website: www.allchicago.org
Frequently Asked Questions Document: Google Docs
HUD e-snaps Training and Resources Page: http://www.hudhre.info/esnaps/
HMIS Helpdesk: https://hmis.allchicago.org

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Detailed Instructions

As mentioned earlier, **it is highly recommended that you prepare answers and documents prior to entering information into the online survey.** While you will be able to save and return to your responses later, you will not be able to navigate from one section to another without answering required questions first. Each time you advance to the next page within the survey, your previous answers are saved. Therefore, if you partially complete a page and then exit the survey, those partial responses will not be saved. For a list of all required attachments, please see *Appendix: List of Attachments*. You may also view a PDF version of the components here.

Agency Component

The Agency Component is worth 15 points. Agencies must turn in one agency component of the 2018 Evaluation Instrument, no matter how many projects they have. This is to avoid having agencies with multiple projects answering the same questions multiple times for items that apply to the agency as a whole. For example, if you have 5 HUD projects, you will submit 1 Agency Component and 5 Project Components.

The first page of the Agency Component contains General Instructions and Agency Information.

Agency Information

Questions 1-2: Please list your Agency name exactly as it is listed on your HUD contract(s). Also, list all projects that are associated with the agency name, using the approved HUD project name listed on your HUD contract(s).

Question 3: Complete the contact information for the person responsible for completing the Agency Component. You will have an opportunity to list contact information for each project on the Project Component. This should be the main contact person(s) for the agency, and will be used to populate our contact list for 2018, along with the contacts listed for the Project Component.

Threshold Questions

Threshold questions must be answered affirmatively, if applicable, in order to be considered for renewal funding. **If an agency cannot answer affirmatively, an explanatory letter must be submitted for review by All Chicago**. If you are unsure, or if you suspect your project may not meet the requirements, please contact All Chicago. Reviewers may request additional information, and will determine if the agency is eligible for a threshold waiver. You will be given the option to upload a letter if a question is not answered affirmatively within the survey.

Question 1: HUD requires that agencies agree to maintain confidentiality of any individual or family who receives family violence prevention or treatment services. Please certify that your agency agrees to do so, or submit a letter of explanation with the application.

Question 2: The HEARTH Act requires that agencies *allow for* the participation of at least one homeless or formerly homeless person on the board of directors or other policy-making entity. If you cannot answer affirmatively, please submit a letter of explanation with the application. If you select *"Yes – other"* please provide a narrative in the Comments box with a description of the other policy-making

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entity. Select *"N/A-Government Entity"* if the contract is held by a government body that does not have a Board. *Note:* this question is not asking about whether your agency *presently* has a member on the board who is currently or formerly homeless, but rather is asking whether the agency *allows* for this participation. Current participation information is gathered later in the survey.

Question 3: Provide the end date for the agency's most recently concluded fiscal year (For the 2018 Evaluation Tool, the answer will typically be 6/30/2017 or 12/31/2017). This question is informational. By receiving this information, it is possible to determine if the audited financial statement attached as part of Question 4 is within 9 months of the end of the fiscal year.

Question 4: Agencies should have an audit completed for the agency within 9 months of the end of the most recently completed fiscal year. Attach the agency's most recently completed financial statement audit. As an example, if the agency's most recent year end is 6/30/2017, you will likely be able to attach the audit for 6/30/2017. If not, attach the audit for 6/30/2016 and make sure that this audit was completed by March 31, 2017. As another example, if the agency's most recent year end is 12/31/2017, you will likely attach the audit for the year ended 12/31/2016 because the 12/31/2017 will not have been completed. Make sure that the 12/31/2016 audit was completed by September 30, 2017.

Question 5: In general, agencies with $750,000 in federal expenditures in a fiscal year are required to undergo a single (Uniform Guidance) audit. If the agency is required to have a single audit, check "yes" and attach a copy of the most recent single audit (which should be for the same fiscal year as the attached financial statement audit). If the agency is not required to have a single audit*, then determine which of the three letters were issued by your auditors for the relevant fiscal year and attach all such letters. At a minimum, attach the AU 260 letter. If you have any questions regarding these letters, contact your auditor for clarification.

NEW: Risk Assessment Used to Assess Agency Financial Stability

This risk assessment will be used to review all financial documents submitted with the Agency Component of the HUD CoC Competition Evaluation Instrument. In requesting the documents, the CoC is assessing if agencies are financially stable to continue operating their HUD CoC grants. To be considered financially stable, the agency must have submitted all required documents. All Chicago monitors will assess financial viability using the following scale. **Please note that the points referenced in this risk assessment are not included as part of the Evaluation scoring. The points are used solely to gauge risk level.**

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

*Note: If no single audit is required, monitors will review the auditor letters required to be attached. Scoring for internal control weaknesses and deficiencies will be scored similarly to the scale used for single audit items.

Additional Financial Review

For planning purposes, Chicago's CoC is responsible for ensuring that agencies are financially stable enough to continue operating the HUD CoC grant, and therefore, these questions will be used to assess all agencies. All attachments are required, though a "No" answer to any of these questions will not automatically result in any action being taken.

All Chicago will review all provided documentation utilizing the risk assessment. If any concerns are identified, All Chicago may request additional information from the agency. The agency will be notified by All Chicago about any potential financial concerns.

Question 1: Select the appropriate answer for whether the agency has met payroll obligations consistently for 12 months, and **attach the agency's FOUR (4) most recent** Employer's Quarterly Federal Tax Return, **Form 941** for supporting documentation. Be sure the form attached is an IRS federal Form 941, rather than a state form. **Provide an attachment** explaining a *"No"* response.

Question 2: Certify by selecting *"Yes"* or *"No"* whether the agency feels it can demonstrate overall fiscal capacity to continue operating all HUD CoC grants.

Question 3: If the agency has received, signed and executed grant agreements with HUD for all projects beginning in 2017, please select *"Yes."* Note that, in many cases, you will select *"No"* for this question. Please attach a letter explaining a *"No"* response, even if the reason is that your current grant year has not expired, or you have not yet been contacted by HUD.

Question 4: This is an informational question. If the agency does not receive state funding, this question does not apply. Select whether or not your agency submits the Illinois Grant Accountability and Transparency (GATA) Internal Controls Questionnaire. In general, only agencies that receive state funding complete this questionnaire but our CoC would like to find out how widely it is being used. This is an informational question – a "No" response does not require an explanation to be attached.

Section A. Agency Certification and Site Visit Requirements Checklist

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.

Questions 1 – 18: All Chicago, in conjunction with the Service Providers Commission and the Lived Experience Commission, conducts site visits to selected agencies, which includes a documentation review component. For all questions in this section, All Chicago staff may request supporting documentation to support a *"Yes"* answer to any of these questions, should the agency be chosen for a site visit. Note, these questions are not scored and not all agencies will answer "Yes" to all questions.

Grant Management (Questions 1-9)

Question 1: Agencies should 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. Furthermore, these policies should have been updated with the issuance of the Uniform Guidance rules effective December 2014.

Question 2: Agencies should be able to identify expenditures in its accounting records according to eligible program activities identified in the grant agreement and such policy should be in writing.

Question 3: Agencies should compare 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. Indicate whether the agency complies with this requirement.

Question 4: Agencies should have 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, and such policy should be in writing.

Question 5: Agencies should maintain written policies documenting controls for approving expenditures that provide reasonable assurance that appropriate individuals approve transactions in accordance with management's general or specific criteria.

Question 6: Agencies should have documentation in the form of payroll reports, timesheets and activity reports that support salaries and wages being charged to grants. Indicate whether the agency complies with this requirement.

Question 7: Agencies should 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.

Question 8: Agencies should segregate financial duties to effectively reduce the opportunity for someone to perpetrate or conceal errors or irregularities.

Question 9: Agencies should maintain the source documentation used to support the amount drawn for each payment request. Indicate whether the agency complies with this requirement.

<u>Staff Policies and Procedures (Questions 10-11)</u>

Question 10: Agencies should have Human Resources policies in place and provide training on the following topics:

- sexual harassment
- non-discrimination
- whistle blower policies that protect against retaliation
- employee code of conduct
- employee and consumer grievance procedures
- confidentiality policies
- conflict of interest policy
- explanation of employee benefits

- employee expectations (work hours, calling off work, performance management and review, confidentiality, discipline and termination of employment)
- safety and evacuation procedures to ensure safety of staff and consumers.

Monitors will look for an Employee Manual or Human Resources Handbook/policies that contains specific language for all policies, including any consequences or disciplinary action outlined. If not contained in the manual/handbook, then separate written policies should be available. Policies should be posted in a common employee area and/or given to employees at date of hire/annually. Employee training documentation should include specific language for the policies listed, including any disciplinary action or consequences. Training schedule/dates should be on file.

Agencies should have written documentation of staff rules and regulations that include job descriptions and job duties/responsibilities that staff receive when hired. Agencies may show this documentation to monitors in an Employee Manual, HR Handbook, a file containing job descriptions/duties, or employee policies and procedures. Monitors will look for a signed receipt by employees at hire/annually.

Agencies should have a practice or policy that ensures all staff members participate in supervision that occurs at least monthly and should have written staff evaluation procedures and forms to ensure that all agency staff members who have been employed for at least one year participated in the annual evaluation process. Monitors will look for a supervision schedule or documentation of frequency, documentation of evaluation procedures, and completed employee evaluations.

Question 11: Agencies should provide ongoing, on-site support to staff to assist in providing housing first, such as regular group supervision, regular supervision, or regular team meetings. Monitors will look for a record of this, such as documented communication to staff, training schedule and record of participation by staff, or supervision records. Agencies should provide ongoing, off-site support to staff to assist in providing housing first, such as peer support, roundtables, or constituency participation. Monitors will look for record of participation by staff in any of these activities.

<u>Homeless Management Information System (HMIS) Policies and Procedures (Questions 12-14)</u>

Question 12: To demonstrate that a posting of the Standard Agency Privacy Posting is displayed where consumers can easily view the sign, monitors will verify that it is located in a common area that is unrestricted and unobstructed.

Question 13: To demonstrate that the Standard Agency Privacy Practice Notice is posted on the website, provide a link to the agency website where the posting is located. If the Notice is not posted on the website but it is posted publicly, indicate the physical location where it is posted.

Question 14: To demonstrate that all HMIS Users at the agency have signed the HMIS End User Policy and Code of Ethics, the agency should have copies of the signed policy on file for all users. Monitors will pull a current list of users to verify that all signed policies are present in the file.

Consumer Focus and Participation in Agency Operations (Questions 15-18)

Question 15: To demonstrate that HUD-funded services are made available to all eligible persons and the agency 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, the agency should have a written eligibility policy that is non-restrictive and specifies any instance which would restrict entry. Intake documents should also include non-restrictive language.

Question 16: To demonstrate that there is direct consumer input to the Board or other policymaking entity, agencies should have agendas/minutes where consumer input was given to the Board, email or other record of communication directly to the Board, or documentation of consumer participation on the Board.

Question 17: To demonstrate volunteer opportunities or other ways to engage consumers or former consumers in the community or within the agency, agencies should have record of volunteer sign-up available to participants, regularly scheduled volunteer opportunities, or connections with outside volunteer projects.

Question 18: To demonstrate how feedback from Consumer Engagement Sessions or Consumer Satisfaction Surveys is implemented, including how staff and participants are informed of changes, agencies should have documentation of changes made and a record of communication to staff and participants.

Section B. Agency Governance

It is the priority of the Chicago CoC to ensure that all agencies operate according to the highest standards, and continually seek to improve their services, as they further the goal of ending homelessness.

Question 1: First, check *"Yes"* or *"No"* as to whether or not the agency participates as an active member in the CoC. Then, participation in any of the groups should be indicated by checking the box next to the CoC Committee, Commission or Work Group for which the agency participates, and also include the name of the person who participates on behalf of the agency. Please note that the person indicated **must be a member** of the committee. Persons that attend, but are not members, will not be considered. *"Participate"* is defined as meeting the attendance requirements set by the Committee or Commission for the meetings selected. All Chicago staff may check agency responses with attendance records at meetings to ensure accuracy of points awarded in this section. Answers should be based on 2017 participation and official membership. If listing a constituency group, please indicate the name of the constituency group, as well as the name of the participant. Points will not be awarded if active participation and official membership are not able to be verified by the reviewers.

Question 2: Select *"Yes"* or *"No"* to the question regarding whether or not the agency has standards or policies in place to ensure continuous quality improvement processes are used to improve project operations. If *"Yes,"* **attachment of the listed policies is required**. Attachments should include evidence of **all** items, if these policies are in place at the agency, including:

* Note that the due date of March 9, 2018 may be changed to an earlier date pending HUD Application release.

- **written policies or procedures for the agency's assessment of project performance** (e.g. written policy identifying how assessment of performance is completed, what is assessed, by whom, and how often)
- **measurable goal setting** (e.g. goals set for project improvement on annual basis; policy identifying process by which goals are set and progress tracked; examples of meeting minutes where goals are set, etc.)
- **data collection and monitoring** (e.g. internal policies for collecting data – who is responsible for gathering, completing, and monitoring data collection, including how often each occurs and in what ways)
- **scheduled review of participant charts** (e.g. written policy stating responsibility for review of participants charts including who completes review and how often this occurs)
- **correction plans if standards are not met** (e.g. example of correction plan; written policy for when and how corrective action plans are created and what would trigger such a plan; policy stating steps to be taken if goals or standards for project performance are not met)
- **established process for reporting outcomes and performance throughout the agency** (i.e. how are outcomes and performance communicated including to whom and how often; e.g. outcomes are to be reported quarterly and are discussed at staff/team meeting, etc.)

These policies may be contained within one or multiple written agency policies. For ease of review, it is recommended that the agency highlight parts of the written policies that meet the requirements of the question, if possible. Attachment of a narrative explanation will not be acceptable to receive points.

Please note: **All projects should be seeking to continually improve project performance and operations.** It is the expectation that each agency have each of these policies in place for all CoC-funded projects to ensure continuous quality improvement. If not in place and documented, it is recommended that the agency take steps to ensure these policies are in place and implemented within the next year.

Section C. Consumer Focus and Representation

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

Question 1: Select *"Yes"* or *"No"* as to whether or not the agency's Board has a member who is currently housed in the agency's project, who is homeless, or who was previously homeless within the last 10 years. Related to the previous Threshold question, this question is now determining whether the agency presently has a board member who is currently homeless or has been homeless within the last ten years. The Evaluation Subcommittee, along with the Lived Experience Commission, would like to emphasize the importance of participation on the part of those with recent experience of homelessness, as these persons will be able to best speak to the current situations and needs of those experiencing homelessness.

Question 2: Select *"Yes"* or *"No"* as to whether or not the agency provides avenues for direct consumer input to its Board of Directors, other than administering a consumer survey or having active consumer membership on the Board (or equivalent policy-making entity). Examples include: Tenant leadership group with regular report back to Board, direct communication avenues between consumers and board members (email, phone, etc.), or standing item on Board agenda for consumer/tenant concerns.

Question 3: Describe the process for consumers to provide anonymous feedback. For full points, please clearly describe what the feedback process is (e.g. client survey), **AND** how the agency ensures anonymity and prevents negative consequences (e.g. surveys are anonymous and placed in box in common area away from staff, or are otherwise not directly given to staff). Points will not be awarded if description does not clearly outline these items.

Question 4: Select *"Yes"* or *"No"* as to whether or not the agency has a written notice that is posted/distributed to consumers which addresses and clearly describes the items listed in the checklist. If *"Yes,"* complete the checklist provided and also **attach a copy of the Consumer Rights documentation** given to participants. Agencies should have **all** items in the checklist noted and clearly described in the Consumer Rights document to be awarded full points. Points will not be awarded if any item is not mentioned explicitly or clearly outlined in detail.

The Evaluation Subcommittee, along with the Lived Experience Commission, would like to emphasize that agencies should take all necessary steps to ensure Client Rights are accessible, clearly outlined, and understood by all participants.

Question 5: Select *"Yes"* or *"No"* as to whether or not the agency encourages consumers to participate in the day-to-day operations of the agency. If *"Yes,"* indicate in the chart through which means the agency encourages this participation by selecting the appropriate checkboxes. Check only those that are applicable. Points will be awarded if at least one box is checked and answer is complete.

Question 6: Select *"Yes"* or *"No"* as to whether or not the agency currently employs consumers or former consumers of homeless services. Points will be given if the agency confirms current employment of consumers or former consumers of homeless services, however agencies are not required to ask staff to disclose formerly homeless status. This may have been documented by the agency in answers to grant applications.

Question 7: If *"Yes"*, select *"Yes"* for at least one feedback process conducted at the agency or specify if not listed. Only select *"Yes"* to "Selected for a 2017 Consumer Engagement Session (CES)" if your agency participated in a Site Visit in 2017.

Those selected for a Site Visit also received a CES and must respond to an issue that arose **from this session** to receive points. If the agency did not receive a CES and selects *"Yes"* to any other feedback process, the agency must provide a narrative in the space provided based on an issue that arose from the indicated process.

For all projects, points will only be awarded if the agency can sufficiently respond to all parts of the narrative, including: clearly describing the issue that arose; AND the planned or completed

steps to resolve the issue; AND how the agency will post/distribute/provide this response to participants. If <u>any</u> one of these narratives is missing or insufficient, <u>zero</u> points will be awarded. Agencies cannot receive partial points for this question.

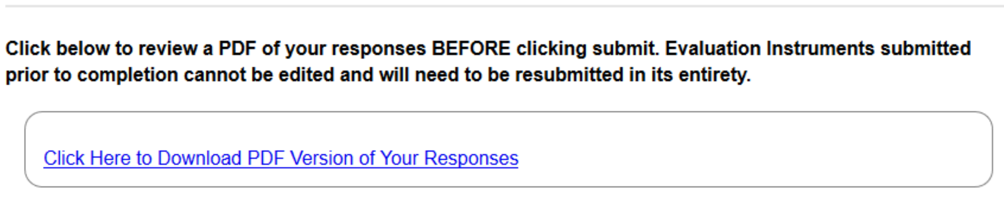
Agencies should use a recent example and should <u>not</u> use a narrative used in any previous Evaluation process. Again, if the agency participated in a Consumer Engagement Session in 2017, the agency should use an example from this session only.

If the agency checked the box for "conducts at least annual consumer satisfaction surveys," the agency should attach a copy of the survey used.

Final Submission

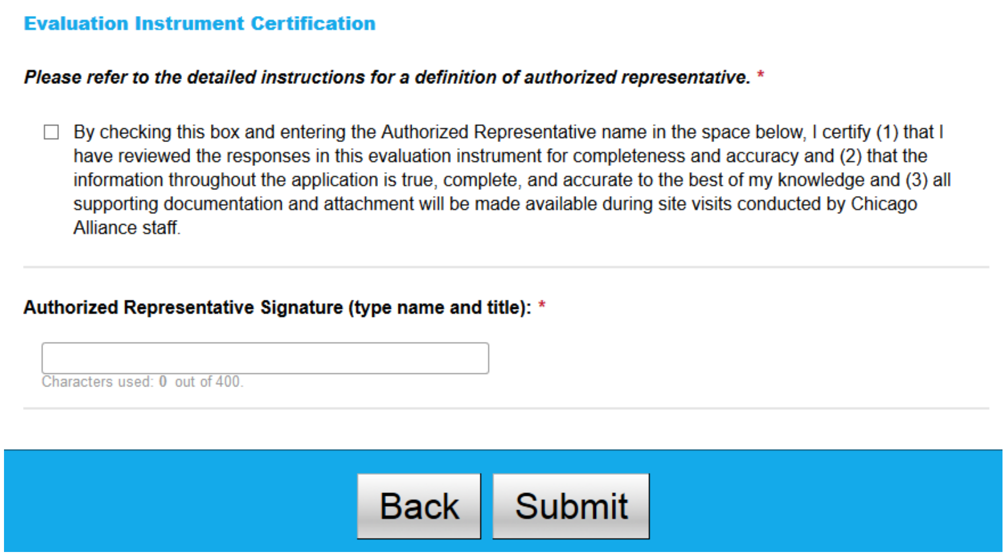
Once you are ready to submit your Agency Component, you will need to complete the Certification Page. There will be a link available for you to review a PDF of your responses.

It is highly recommended that you review the PDF and print this document for your records.



Be sure to review **each question** and **open all attachments** to ensure accurate responses are submitted.

Only an Authorized Representative should submit the final Evaluation Instruments for your agency. An Authorized Representative should be a high-level person in the organization who is authorized to enter into contractual agreements. Typically it is the CEO or Executive Director, though for large agencies it may be another senior level person. This representative will check the box to certify the submission and "sign" electronically by typing their name and title to authorize the submission.



Once these steps have been completed and you have reviewed your responses, click *Submit*.

NOTE: ALL SUBMISSIONS WILL BE CONSIDERED FINAL. DO NOT SUBMIT THE ONLINE EVALUATION INSTRUMENT UNTIL YOUR RESPONSES ARE READY FOR REVIEW BY ALL CHICAGO.

A confirmation email will be sent to the email address indicated in the Primary Contact Information section each time you submit a component. This email will also contain a link to the PDF copy of your responses. **It is recommended that you keep a copy of all confirmation emails for your records.**

Project Component

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 (S+C). SHP and S+C programs fund Permanent Housing (PH), Safe Haven (SH), Transitional Housing (TH), Rapid Re-housing (RRH) and Supportive Service Only (SSO) programs. Coordinated Entry SSO – 1, Coordinated Entry SSO – 2, and Coordinated Entry – CRS projects must also submit an Evaluation Instrument.

The Project Component is worth 42-62 points. All agencies must submit one Agency Component, followed by Project Components for each project that was operating between January 1, 2017 and December 31, 2017.

Project Information (Cover Page)

The first page of the Project Component contains General Instructions and Project Information.

- Please list your Agency name as it is listed on your HUD contract(s). Next, indicate the project for which you are completing this component, using the approved HUD project name listed on your HUD contract(s).
- All projects, including LTRA or S+C projects, should indicate the **FY2017 HUD Grant Number <u>or most recent HUD grant number</u>** for this project. If you are unsure, please use the grant number indicated on the FY17 GIW.
  - o For consolidated projects, please us the grant number from HUD after the projects were consolidated.
- Please indicate the project's HMIS Program ID. For consolidated projects, please list the HMIS number for both projects that were consolidated.
- Provide the contact information of the person who is responsible for submitting an evaluation for this project.
- Next, provide contact information for a secondary contact for this project. You may also enter additional contact information, if necessary. **This contact information will be used to populate our contact list for future HUD CoC communications**.

Threshold Questions

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

Question 1: For projects with beds, data will be taken from the HMIS Evaluation Report in Excel format for the dates of **January 1, 2017 to December 31, 2017.**

Formula Used for Calculation

$$= \frac{\text{Total Persons with a current Entry at each Point in Time (January, April, July, October)}}{\text{Total Beds Available at Full Capacity}} \quad \& \quad = \frac{\text{Average for full 2017 year}}{\text{Total number of beds x 365}}$$

To meet threshold, projects must be at or above 80% for <u>average bed utilization rate</u> AND at each of the <u>4 point-in-time</u> <u>bed utilization</u> reporting points. CES SSO projects are exempt from this question. For SSO and DV projects, data will be taken from agency self-report only, and compared to APR. For family projects, utilization will be determined on bed and unit capacity, due to fluctuating family sizes. Self-report of beds and units, <u>as indicated in the project's HUD contract,</u> is required for ALL projects. If the project did not meet the 80% threshold for this question, **please submit a letter of explanation**.

Note: Projects should ideally operate above 80% bed capacity and below 105% bed capacity. While this question is only scored on 80% capacity for 2018, projects should be mindful if capacity is over 105% for any point in time. Projects that serve families or provide long term rental assistance may have capacity that exceeds their projected number of persons served and/or may exceed 105%.

For questions about calculating bed utilization rates, please see FAQs, Appendix, or contact the HMIS Helpdesk.

Question 2: Select *"Yes"* or *"No"* as to whether or not this project submitted the most recent Annual Performance Report (APR) to HUD in Sage. **Agencies must also attach a copy of their most recently submitted APR for this project <u>in PDF format</u> to meet Threshold**. Explain any extensions or new dates issued by HUD. Provide an explanatory letter for a *"No"* response.

Question 3: Participation in HMIS for HUD-funded projects is mandatory. Select *"Yes"* or *"No"* as to whether or not the project participates in HMIS. The answer will be verified by All Chicago. All CoC Program funded projects are required to collect all of the Universal Data Elements and a select number of Program-Specific Data Elements, which are shown here. Projects that exclusively serve victims of domestic violence should select "*No – DV Exclusive Project*." Provide an attachment explaining a *"No"* response.

Question 4: Select *"Yes"* or *"No"* as to whether or not the project serves families with at least one adult and one child. If *"Yes,"* agencies must answer questions 4A-4C, which are Threshold questions for family projects.

Questions 4A-4C: Select *"Yes"* or *"No"* to the three additional questions listed. These questions reference HEARTH Act requirements for those projects serving families. If the project does not meet one or more of these requirements, **please submit an explanatory letter for review**. If the project does not serve families, continue to next question. An explanatory letter will not be necessary for those projects that do not serve families.

Question 5: Protecting confidentiality of family violence (domestic violence) shelters is a requirement of the HEARTH Act. Select *"Yes"* or *"No"* as to whether or not the project agrees to take measures to ensure the location of any family violence shelter will not be made public. Provide a letter explaining a *"No"* response.

Question 6: All projects are required to provide at least 25% match, minus any leasing costs, for each HUD CoC grant. Select *"Yes"* or *"No"* as to whether or not the project is able to meet and document this requirement at the time of grant execution. Please review HUD guidance regarding eligible match and leverage, as well as documentation requirements. *Note: Projects will be required to include this match in their HUD Project Application for FY17 and may be required to submit documentation to HUD at the time of grant execution.*

Question 7: All projects are required to follow a Housing First approach, as all projects indicated such in the FY18 HUD CoC Program Competition application process. Projects should answer all questions 7A-7C to determine whether they follow a Housing First approach according to HUD. Only projects selecting Yes to all items will be considered Housing First and meet the Threshold requirement. Provide a letter explaining any "No" response.

7A: Select *"Yes"* or *"No"* as to whether the project quickly moves participants into permanent **housing without intermediary steps or a period of qualification before permanent housing**.

7B: Select *"Yes to All"* or *"No"* as to whether the project has removed barriers to accessing housing. Projects must indicate all have been removed or do not exist as barriers to housing in order to be considered Housing First.

7C: Select *"Yes to All"* or *"No"* as to whether the project has removed the reasons for program termination. Projects must indicate all have been removed or do not exist as barriers to housing in order to be considered Housing First.

Question 8 (INFORMATIONAL): Answer "Yes" if the project does any **one** of the following:

- Refers clients to access points when they are seeking assistance
- Ensures all clients are assessed through the Coordinated Entry System
- Has a skilled assessor on staff to conduct assessments
- Requests matches for all vacancies through Coordinated Entry
- Only accepts clients through Coordinated Entry for vacancies
- Utilizes Coordinated Entry transfer requests for all transfers
- Fulfills matching requests
- Coordinates outreach efforts

- Coordinates or participates in System Integration Team meetings
- Oversees the Coordinated Entry System
- Performs housing system navigation

Question 9 (INFORMATIONAL): Answer "Yes" if members of your staff have participated in training or your project has policies in place that align with the Gender Equity Rule.

Question 10 (INFORMATIONAL): Answer "Yes" if members of your staff have participated in training or your project has policies in place that align with the Final Rule on the violence Against Women Act (VAWA).

Section A. Project Certification Checklist

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.

Questions 1 – 15: Select *"Yes"* or *"No"* for all questions, unless N/A. All Chicago, in conjunction with the Service Providers Commission and the Lived Experience Commission, will be conducting site visits to selected agencies, which includes a documentation review component. For all questions in this section, All Chicago staff may request supporting documentation to support a *"Yes"* answer to any of these questions, should the agency be chosen for a site visit. Note, these questions are not scored and not all agencies will answer "Yes" to all questions.

<u>Grant Management (Questions 1-3)</u>

Question 1: To demonstrate that funds are drawn from HUD's Line of Credit Control System (LOCCS) at least quarterly, the project should be able to show documentation of the draw down and/or policies/procedures for draw down.

Question 2: To demonstrate that the project has a system in place to track the status of the award through the technical submission, grant agreement, development activities, start of operations, amendments, end of operations, and renewal and that the tracking system communicates dates of submission of APRs, audits, and required monitoring remedies/sanctions, the project should be able to show a checklist, schedule, timetable, or other tracking system utilizing a spreadsheet or other means.

Question 3: To demonstrate that the project has been monitored by HUD within the last two years, the project should be able to show an audit notification letter, monitoring report from HUD, or related correspondence.

<u>Housing Quality and Standards (Questions 4-5)</u>

Question 4 (INFORMATIONAL): This question will not be monitored. However, the project should indicate whether its facilities meet the ADA requirements for accessibility. If the answer is "no," indicate if the project is taking steps to come into compliance.

Question 5: To demonstrate that the project completes inspection reports regarding the applicable Housing Quality Standards (HQS) Inspections, the project should be able to show completed inspection forms. The project should be able to show documentation of who conducts inspections at what frequency and policies/procedures regarding inspections.

Best Practices (Questions 6-9)

Question 6: To demonstrate the topics of staff diversity trainings attended by project staff within the last calendar year, the project should be able to show documentation of trainings offered, frequency of the trainings, and attendance by staff.

Question 7: To demonstrate topics and attendance of staff in formal staff development trainings in Harm Reduction and Motivational Interviewing, the project should be able to show documentation of trainings offered, frequency of trainings, attendance by staff, and topics other than diversity that are addressed.

Question 8: To demonstrate how staff members who deliver services or case management for the project use Motivational Interviewing (MI) strategies with consumers, the project should be able to show case note documentation that reflects MI language or documentation of expectations or training around MI.

Question 9: If other evidence-based practice models are used by staff members who deliver services or case management for the project, select "Yes." If "Yes" is selected, the project should be able to show training materials, documentation of staff expectations, or other documentation of the evidence-based practice used in the project.

Resource Linkage (Question 10)

Question 10: To demonstrate access or linkage to specialized resources for consumers in the project to meet the unique needs of consumers with psychosocial barriers, physical disabilities, or communication barriers, the project should be able to show a MOU or linkage agreement documenting services offered, or documentation of referrals to other resources.

Policies and Practices (Questions 11- 15)

Question 11: To demonstrate that staff have received training in Housing First principles, HUD's Definition of Homelessness, HUD's Chronically Homeless Definition, and Chicago's Continuum of Care, the project should be able to show documentation of trainings, attendance by staff, and frequency of attendance.

Question 12: To demonstrate that the project has the Chicago HMIS Privacy Packet available and requires each consumer to sign the Consent Form (Release of Information) for all consumers who are entered into HMIS, the project should have the Privacy Packet available with intake documents or the handbook. Monitors will conduct a random sampling of Consent Forms.

Question 13: To demonstrate how the discharge policy is explained and is easily accessible to consumers, the project should be able to provide a consumer handbook or orientation materials that include the discharge policy. The discharge policy should also be publicly posted.

Question 14: To demonstrate the menu and variety of services available to consumers, the project should be able to show a list of services available, the intake procedures or consumer handbook should include the menu of services offered, and the menu should include a variety of flexible services.

Question 15: If the project does not serve families, select "N/A – Project does not serve families" or "N/A – Coordinated entry SSO." For projects that serve families, demonstrate that policies are in alignment with topics listed in bullets a)-h) by providing documentation of intake policies, referral documentation, MOU/Linkage agreements, and Individual Service Plans (ISPs).

Section B. Project Operations

It is the priority of the Chicago CoC to ensure that all projects operate according to the highest quality standards while meeting HUD requirements and seeking to continually improve the operations of the project, as well as using grant funds as efficiently and as effectively as possible.

Question 1: Select *"Yes"* or *"No"* as to whether or not the project was able to spend 100% of allotted funds for the grant term that just ended. If the project did not draw down 100% of funds, or did not expend all the funds HUD allows, select *"No"* and answer 1A and 1B. **Only projects spending >98% of funds will be eligible for full (4) points.** Answers may be verified with local HUD through a recapture report.

Question 1A-1B: **A.** To calculate the response for 1A take the grant amount listed on your HUD award, and subtract the expended funds for the most recently completed grant year. **B.** To answer 1B, explain the reason for not spending 100% of the funds HUD allows. If the reason for not expending 100% of the funds is because the project was new, merged, or a transfer in 2017, check the appropriate box in 1B i-iii. If the project is a new, consolidated or transfer in 2017, also attach documentation demonstrating that status. If the project is a renewal, select "Yes" for 1B iv and then explain the reasons for not expending 100% of funds. Whether renewal, new, consolidated or transfer, also indicate if the project is willing to reallocate any portion of the funds left unspent and if so, the amount that will be reallocated.

For projects that consolidated with HUD approval during the 2017 calendar year, calculate the amount of unspent funds by adding the grant amount for all projects and subtracting the total amount expended for all projects.

All projects not expending 100% of funds for the most recent grant year **must complete and attach the Recapture Spreadsheet** (see appendix) detailing the last three grant terms of unspent funds. Additional instructions on how to complete the spreadsheet are included within the example. Please do not reformat or utilize a different spreadsheet. Projects that consolidated in the last 3 years must complete the recapture contract for all projects included in the consolidation for the past 3 years (2015-

2017). For example, if an agency consolidated 2 projects in calendar year 2016, then the recapture spreadsheet should reflect the individual projects spent and unspent funds in 2015 and 2016 AND the consolidated project spent and unspent funds in 2017. Please contact All Chicago with questions.

Projects will be eligible for 3 points if 95-97.9% of funds were expended or funds were reallocated in 2017. Projects that expended less than 95% of funds and reallocated at least 80% of the 3 year average of unspent funds will receive 2 points. Projects that expended less than 95% of funds and reallocated 50-79.9% of the 3 year average of unspent funds will receive 1 point. Projects not expending 95% or greater with no reallocation will not be eligible for points and will have a point **deducted** for the overall score.

Note: Long Term Rental Assistance (formerly S+C) projects will be scored on this question. New Projects will not be scored and do not need to submit the completed Recapture Spreadsheet.

All projects should make efforts to spend down 100% of grant funds and should, if needed, make adjustments to their budget and contact local HUD throughout the year, to avoid recapture of funds. Projects consistently returning funds may be subject to partial or full grant reallocation by the CoC Board.

Question 2: Select *"Yes"* or *"No"*, unless N/A, as to whether the APR was submitted by the deadline (typically 90 days from grant end date), as required by HUD. Due to Sage issues in 2017, APR due dates may vary. Please answer based on your most recently completed grant year, for which 90 days since grant end have passed. If your APR is not yet due, please respond based on your previous APR. If "*No,*" please provide a narrative explanation in the space provided. This question is informational and is not scored for 2018.

Question 3: Select "Yes" if the project's written discharge policies include everything listed in a-d, including d.(i)-(iv). If the project cannot answer "Yes" to every one of those parts, then you must select "No." Projects that select "Yes" will receive 2 points and projects that select "No" will receive 0 points. If the reason that the project does not have a policy is related to other laws and/or funders governing the project, attach a narrative or document to explain.

Section C. Homeless Management Information System (HMIS) Implementation & Data Quality

HMIS implementation, participation, and data quality are priorities for both the Chicago CoC and HUD. By implementing a system-wide HMIS, the Chicago CoC will be able to provide information on persons served, including local trends. Accurate and timely data can inform the work of all programs to ensure priorities are appropriately assigned and needs of the community are addressed. HMIS will also provide system-wide data that will assist Chicago in measuring our success in implementing the HEARTH Act and Plan 2.0.

Question 1: If the project is a Domestic Violence exclusive agency, the project must also answer Question 1A and, if answered affirmatively, indicate the comparable database. These agencies can then skip to the next section. Projects that answered *"No"* to this previously will skip to Question 2 in this section.

Question 2: Indicate whether or not this project has participated in and complied with the requirements of the last three HMIS Quarterly Data Quality Assessments (January 2017, April 2017, and June 2017) by checking each quarter for which this project submitted data. Projects will be considered compliant only if no fields have more than 5% missing data and there are zero child only entries upon final submission. All Chicago and will verify all responses using HMIS records.

Question 3: Select *"Yes"* or *"No"* to indicate whether or not this project has 5% or less missing values in the reporting period of January 1, 2017 to December 31, 2017 for all required HUD Universal Data Elements (UDEs) and Program Specific Data Elements in HMIS. SSN and DOB fields will not be included in the scoring. Agency Technical Administrators can utilize the **2018 January Chicago Data Quality Assessment** to check the percentages of missing data. Information will be verified by All Chicago staff through ServicePoint and using the Quarterly Data Quality Assessments. CES SSO projects are exempt from this question in 2018. The Universal and Program-Specific Data Elements are as follows:

- Name
- Social Security Number (excluded from scoring)
- Veteran Status
- Relationship to Head of Household
- Client Location
- Date of Birth (excluded from scoring)
- Race
- Ethnicity
- Gender
- Domestic Violence
- Housing Status at Entry
- Residence Prior to Entry
- Length of Stay in Prior Residence
- Chronic Homelessness Questions
- Income at Entry
- Income at Exit
- Non-Cash Benefits at Entry
- Non-Cash Benefits at Exit
- Insurance at Entry
- Insurance at Exit
- Disabling Condition

Section D. System Priorities

The Chicago CoC Board sets the priorities for the system and these priorities were endorsed with the passage of Chicago's updated plan to end homelessness, Plan 2.0. The CoC also takes into consideration the priorities set by HUD in accordance with the federal strategic plan to end homelessness, *Opening Doors.* The following questions allow the project to demonstrate alignment with both current system priorities, as well as federal priorities emphasized by HUD.

Projects that consolidated with HUD approval in 2017 should use the project data for all projects that were consolidated. This may require using the 2018 HUD Evaluation Report from HMIS for the individual projects BEFORE the consolidation and adding the data to the 2018 HUD Evaluation Report from HMIS from AFTER the consolidation.

Question 1: Select *"Yes"* or *"No"* to indicate whether or not this project serves households that meet HUD's definition of Chronic Homelessness. To meet this definition, the household must:

- ✓ Have a disability (as defined by HUD).
- ✓ Be literally homeless (as defined by HUD)
- ✓ Have been homeless for 12 consecutive months, **OR**
  on four separate occasions totaling 12 months in the last three years.

Note: A family would be considered Chronically Homeless if the Head of Household met all of the criteria noted above.

> *IMPORTANT: HUD released the final rule on defining Chronic Homelessness.* ***CoC recipients must comply with the regulations promulgated by this rule as of January 15, 2016.***

If *"Yes,"* agencies must also answer Questions 1A-B., using the 2018 HUD Evaluation Report from HMIS. **A.** Indicate how many households served between January 1, 2017 to December 31, 2017 have met the chronic homeless definition. **B.** Indicate how many total households were served in the same timeframe. Lastly, indicate the total percentage of households served who were chronically homeless. Agencies should use the same date range of January 1, 2017 through December 31, 2017. For more information about the 2018 HUD Evaluation Report, please see *Appendix*. All projects will be scored on this question based on the data in HMIS only.

Formula Used for Calculation of System Priorities Question 1

$$= \frac{\text{Total number of heads of households served during the reporting period who were classified as chronically homeless at program entry}}{\text{Total number of heads of households served during the reporting period}}$$

Question 2: If the project serves individuals or households who have a HUD-defined disability; are youth heads of household ages 14-24; are families; or are veterans, the agency must complete Questions 2A-B, using data from the 2018 HUD Evaluation Report from HMIS. A. indicate how many households (either single or family) were served from January 1, 2017 to December 31, 2017 fit each of the criteria listed. B. indicate how many total households were served by the project in the same timeframe. Indicate the total percentage based on the answers to A and B. All projects will be scored on this question based on the data in HMIS only. Projects that consolidated with HUD approval in 2017 should use the project data for all projects that were consolidated. This may require using the 2018

HUD Evaluation Report from HMIS for the individual projects BEFORE the consolidation and adding the data to the 2018 HUD Evaluation Report from HMIS from AFTER the consolidation.

Formula Used for Calculation of System Priorities Question 2

= Number of heads of household entered into the project between 1/1/2017 and 12/31/2017 with:

i. "Yes" response to the question "Does the client have a disabling condition?"
ii. An age between 14-24 at entry
iii. A household description that includes "w/child" and includes a household member 18 years of age or older and an individual under 18 years of age
iv. Veteran status marked as "Yes"

divided by

Number of heads of household entered into the project between 1/1/2017 and 12/31/2017

Question 3: Select "Yes" or "No" to indicate whether or not your agency provides and explains the written eligibility criteria for this project, which are in line with the Housing First principles, to consumers. Attachment of the project's written eligibility criteria is required for verification. Reviewers will verify the eligibility criteria are in alignment with Housing First principles and do not include unnecessary restrictions to eligibility such as:

- Consumers being required to participate in services or treatment to retain housing.
- Consumers must meet certain service goals or time limits in order to be placed into housing.
- Consumers being screened out based on income, criminal history, history of domestic violence, history of or current substance use, willingness to participate in services, etc.

Eligibility policies should be minimal and either not suggest/state any of the above restrictions OR explicitly state that these restrictions are not in place for the program.

Additional Note: Participation in Coordinated Entry is required for all HUD CoC-funded projects and will be a scored Threshold requirement for renewal funding in 2019. As Coordinated Entry is implemented gradually and evolves as needed, all projects should make efforts to stay informed and keep abreast of changing expectations or requirements to ensure compliance.

Question 4 (INFORMATIONAL): First, enter how many vacancies total were filled in the project for the time period of 9/1/17 – 12/31/17. Then enter how many households the project received from the Coordinated Entry System (CES) during this same time period. Calculate the percentage of vacancies filled from CES. If 100% of vacancies are not filled from CES, complete a narrative to explain how the project filled the remaining vacancies.

Formula Used for Calculation of System Priorities Question 4

$$= \frac{\textit{Number of heads of households with a Housing Move-in Date between 9-1-2017 and 12-31-2017 who have a referral through CES}}{\textit{Number of heads of households with a Housing Move-in Date between 9-1-2017 and 12-31-2017}}$$

Question 5 (INFORMATIONAL): Calculate the average number of days between match and housing for the project. Please explain the number in a narrative, including information to explain any averages over 90 days.

Formula Used for Calculation of System Priorities Question 5

Of the heads of households with a Housing Move-in Date and who have a referral through CES, the average number of days between referral and housing.

Section E. Project Performance and Consumer Outcomes

It is the priority of the Chicago CoC Board that all projects participating under the Plan and receiving HUD funding meet high standards for performance in identified priority areas including housing retention and acquisition of income. Questions in this section reflect the outcomes expected for each project type, as outlined in the most recently revised 2014 Program Models Chart (Updated in 2017). This section uses HMIS data for the reporting period of **January 1, 2017 to December 31, 2017** to assess the project's performance. Domestic Violence exclusive projects will be scored based on their APR submitted to HUD, as well as self-report, and will not need to attach further reports. Projects that consolidated with HUD approval in 2017 should use the project data for all projects that were consolidated. This may require using the 2018 HUD Evaluation Report from HMIS for the individual projects BEFORE the consolidation and adding the data to the 2018 HUD Evaluation Report from HMIS from AFTER the consolidation.

NEW: The amount of points possible in this section varies between project types because the Evaluation Tool Subcommittee and the System Performance and Evaluation Committee decided that the way various questions are weighted in relation to each other should not be restricted by an arbitrary set total of points. Instead, with this method the weighting is defined by system priorities and the relative importance of each metric within each different project type.

2018 Evaluation Instrument Instruction Manual

*Due on March 9, 2018**

Question 1: Select the appropriate Chicago Program Model type for this project from the 2014 Program Models Chart (Updated in 2017). *Note: You will be provided with further questions based on your answer to Question 1. Please be sure to select the correct Program Type.*

- **All questions should be answered using the 2018 Evaluation Report from HMIS.** This is a custom report designed to pull the responses needed to answer HMIS data-informed questions in the Evaluation Instrument. You will not need to complete further calculations, as the responses have been calculated for you within the report, based on your data in HMIS. **You will be required to submit this report with your submission and verification/scoring will be based on the information in this report only. Some questions may require additional self-report data, which will be indicated.**

- Brief instructions are included below for each section of the Project Performance and Consumer Outcomes section. For questions requiring HMIS data, the formula is provided in the question. For specific calculation information or to verify data, please use the [Insert link to 2018 HUD Evaluation Report Guide].

- Questions in this section will be awarded points based on the scoring criteria noted for each question, as indicated. Project Type-specific questions are generally scored on **percent ranges**, based on benchmarks set in the Program Models Chart. Please review the Scoring Guide for additional details.

Interim Housing

Answer Questions **2 - 4** using the Evaluation Report, based on HMIS data.

Formula Used for Calculation of Question 2

$$= \frac{\text{Number of households whose head of household exited the project to a permanent destination}^{1} \text{ within 180 of entering the project}}{\text{Number of households whose head of household exited the project}^{2}}$$

* Note that the due date of March 9, 2018 may be changed to an earlier date pending HUD Application release.

Formula Used for Calculation of Question 3

$$= \frac{\text{Number of households who had no total income at project entry and who either enrolled in the project prior to } 1-1-17 \text{ or exited during the reporting period and obtained employment}}{\text{Number of households who had no total income at project entry and who either enrolled in the project prior to } 1-1-17 \text{ or exited during the reporting period}}$$

Formula Used for Calculation of Question 4

$$= \frac{\text{Number of households whose head of household exited the project to a permanent destination}^{1} \text{ within 120 of entering the project}}{\text{Number of households whose head of household exited the project}^{2}}$$

Permanent Housing with Short Term Supports

Answer questions **5-6** using the Evaluation Report, based on HMIS data.

Formula Used for Calculation of Question 5

$$= \frac{\text{Number of households whose head of household exited the project to a permanent destination}^{1} \text{ within 731 of entering the project}}{\text{Number of households whose head of household exited the project}^{2}}$$

Formula Used for Calculation of Question 6

$$= \frac{\begin{array}{c}\textit{Number of households who had no total income}\\ \textit{at project entry and who either enrolled in the}\\ \textit{project prior to } 1-1-17 \textit{ or exited during the}\\ \textit{reporting period and obtained employment}\end{array}}{\begin{array}{c}\textit{Number of households who had no total income}\\ \textit{at project entry and who either enrolled in the}\\ \textit{project prior to } 1-1-17 \textit{ or exited during the}\\ \textit{reporting period}\end{array}}$$

Youth Transitional Housing

Answer questions **7-9** using the Evaluation Report, based on HMIS data. Please note that for question 9, the agency self-report must be accurately completed on the submitted Evaluation Instrument to receive full points.

Formula Used for Calculation of Question 7

$$= \frac{\begin{array}{c}\textit{Number of households whose head of household}\\ \textit{exited the project to a permanent destination}^1\end{array}}{\begin{array}{c}\textit{Number of households whose head of household}\\ \textit{exited the project}^2\end{array}}$$

Formula Used for Calculation of Question 8

$$= \frac{\begin{array}{c}\textit{Number of households who had no total income}\\ \textit{at project entry and who either enrolled in the}\\ \textit{project prior to } 1-1-17 \textit{ or exited during the}\\ \textit{reporting period and obtained employment}\end{array}}{\begin{array}{c}\textit{Number of households who had no total income}\\ \textit{at project entry and who either enrolled in the}\\ \textit{project prior to } 1-1-17 \textit{ or exited during the}\\ \textit{reporting period}\end{array}}$$

Permanent Supportive Housing

Answer questions **10-11** using the Evaluation Report, based on HMIS data.

Formula Used for Calculation of Question 10

$$= \frac{\begin{array}{c}\textit{Number of households whose head of household}\\ \textit{has either been enrolled for at least 365 days}\\ \textit{or exited the project to a permanent destination}^{1}\end{array}}{\begin{array}{c}\textit{Number of households whose head of household}\\ \textit{has either been enrolled for at least 365 days}\\ \textit{or exited the project}^{3}\end{array}}$$

Formula Used for Calculation of Question 11

$$= \frac{\begin{array}{c}\textit{Number of households whose head of household}\\ \textit{exited the project more than 365 days after entry}\\ \textit{and exited to a permanent destination}^{1}\end{array}}{\begin{array}{c}\textit{Number of households whose head of household}\\ \textit{exited the project more than 365 days after entry}\end{array}}$$

Safe Haven

Answer questions **12-13** using the Evaluation Report, based on HMIS data.

Formula Used for Calculation of Question 12

$$= \frac{\begin{array}{c}\textit{Number of households whose head of household}\\ \textit{exited the project more than 365 days after entry}\\ \textit{and exited to a permanent destination}^{1}\end{array}}{\begin{array}{c}\textit{Number of households whose head of household}\\ \textit{exited the project more than 365 days after entry}\end{array}}$$

Formula Used for Calculation of Question 13

$$= \frac{\text{Number of households whose head of household has either been enrolled for at least 365 days or exited the project to a permanent destination}^{1}}{\text{Number of households whose head of household has either been enrolled for at least 365 days or exited the project}^{3}}$$

Engagement Services (SSO)

Answer questions **14-16** using the Evaluation Report and Self-Report data. Please note that for question 13, the agency self-report must be completed on the submitted Evaluation Instrument to receive full points.

Formula Used for Calculation of Question 14

$$= \frac{\text{Number of households whose head of household has a date of engagement entered and has exited the project to a permanent destination}^{1}}{\text{Number of households whose head of household has a date of engagement entered and has exited the project}^{2}}$$

Formula Used for Calculation of Question 15

$$= \frac{\text{Number of households active in the project during the calendar year whose head of household has a date of engagement entered}}{\text{Number of households active in the project during the calendar year}}$$

Formula Used for Calculation of Question 16

$$= \frac{\text{Number of households active in the project during the calendar year whose head of household has an entry into the Coordinated Entry Project}}{\text{Number of households active in the project during the calendar year}}$$

Rapid Re-housing

Answer questions **17-19** using the Evaluation Report, based on HMIS data.

Formula Used for Calculation of Question 17

$$= \frac{\text{Number of households whose head of household exited the project to a permanent destination}^{1}}{\text{Number of households whose head of household exited the project}^{2}}$$

Formula Used for Calculation of Question 18

$$= \frac{\text{Number of households whose head of household exited the project to a permanent destination}^{1}\text{ between } 7-1-2016 \text{ and } 7-1-2017 \text{ and has a } 6 \text{ month follow up indicating that they were housed}}{\text{Number of households whose head of household exited the project to a permanent destination}^{1}\text{ between } 7-1-2016 \text{ and } 7-1-2017}$$

Formula Used for Calculation of Question 19

$$= \frac{\textit{Number of households whose head of household exited the project to a permanent destination}^1 \textit{ between } 1-1-2016 \textit{ and } 1-1-2017 \textit{ and has a } 12 \textit{ month follow up indicating that they were housed}}{\textit{Number of households whose head of household exited the project to a permanent destination}^1 \textit{ between } 1-1-2016 \textit{ and } 1-1-2017}$$

Coordinated Entry Project SSO - 1

Answer questions **20-23** using the Evaluation Report, based on HMIS data.

Formula Used for Calculation of Question 20

$$= \frac{\textit{Number of Heads of Household in Outreach or Housing System Navigation project matched to a permanent housing provider through the CES project and have an entry into a permanent housing project or exit to permanent housing destination from } 9/1/2017 \textit{ to } 12/31/2017}{\textit{Number of Heads of Household in an Outreach or Housing System Navigation project between } 9/1/2017 \textit{ and } 12/31/2017 \textit{ and have a match to a permanent housing project from the CES Skilled Assessor Project}}$$

Formula Used for Calculation of Question 21

$$= \frac{\text{Number of Heads of Household entering an Emergency Shelter, Transitional Housing (not including TH for Youth or PHwSS), Outreach Project, Services Only Project (with homeless status), o Coordinated Entry Project (with homeless status) between 9/1/2017 and 12/31/201 with an Entry into the CES Skilled Assessors Project and a Standardized Housing Assessment that includes a completed Vulnerability Index or an Entry into the EVH Project with a Chicago Ending Veteran Homelessness Assessmen and completed Vulnerability Index}}{\text{Number of Heads of Household entering an Emergency Shelter, Transitional Housing (not including TH for Youth or PHwSS), Outreach Project, Services Only Project (with homeless status), o Coordinated Entry Project (with homeless status) from 9/1/2017 - 12/31/2017}}$$

Formula Used for Calculation of Question 22

$$= \frac{\text{Number of Heads of Household enrolled an Emergency Shelter, Transitional Housing (not including TH for Youth or PHwSS), Outreach Project, Services Only Project (with homeless status), or Coordinated Entry Project (with homeless status) from 9/1/2017 - 12/31/2017 with an Entry into a Permanent Housing Project (including Youth TH and PHwSS) or an Exit to a permanent housing destination[1]}}{\text{Number of Heads of Household enrolled an Emergency Shelter, Transitional Housing (not including TH for Youth or PHwSS), Outreach Project, Services Only Project (with homeless status), or Coordinated Entry Project (with homeless status) from 9/1/2017 - 12/31/2017}}$$

Formula Used for Calculation of Question 23

$$= \frac{\text{Number of Youth Heads of Household enrolled in HPCC – Shelter Placement and Diversion Project from 1/1/2017 – 12/31/2017 and with an Entry into an Emergency Shelter, Transitional Housing (excluding Youth TH and PHwSS), Street Outreach, Services Only (with homeless status) and Coordinated Entry (with homeless status) project within 60 days of Project Entry Date.}}{\text{Number of Youth Heads of Household enrolled in HPCC – Shelter Placement and Diversion Project from 1/1/2017 – 12/31/2017 with an Exit Reason for Leaving as HPCC: Diversion}}$$

Coordinated Entry Project SSO - 2

Answer questions **24 - 25** using the Evaluation Report, based on HMIS data. **Question 26** will be based on agency self-report.

Formula Used for Calculation of Question 24

$$= \frac{\text{Number of Heads of Household with a match to a Housing System Navigation Project between 9/1/2017 and 12/31/2017 and an Entry into the System Navigation Project to which they were referred}}{\text{Number of Heads of Household with a match to a Housing System Navigation Project between 9/1/2017 and 12/31/2017}}$$

Formula Used for Calculation of Question 25

$$= \frac{\text{Number of Heads of Household with a match and subsequent Entry into a Housing System Navigation Project between 9/1/2017 and 12/31/2017 with an Entry into a Permanent Housing Project (including Youth TH and PHwSS) or Permanent Exit Destination}^{2}}{\text{Number of Heads of Household with a match and subsequent Entry into a Housing System Navigation Project between 9/1/2017 and 12/31/2017}}$$

Coordinated Entry Project CRS

Answer questions **27-28** using the Evaluation Report, based on HMIS data. The data from Question 28 will come from Google Forms.

Formula Used for Calculation of Question 27

$$= \frac{\textit{Number of Heads of Household with Permanent Housing Project (including Youth TH and PHwSS) Entries with Housing Move-in Dates between 9/1/2017 and 12/31/2017 and a Match from the CES Skilled Assessors project}}{\textit{Number of Heads of Household with Permanent Housing Project (including Youth TH and PHwSS) Entries with Housing Move-in Dates between 9/1/2017 and 12/31/2017}}$$

Formula Used for Calculation of Question 28

$$= \frac{\textit{Number of matches requested via Google Forms that received a referral from the CES project within two business (regardless of the Referral Need Status)}}{\textit{Number of matches requested via Google Forms with an opening during 9/1/2017 – 12/31/2017}}$$

All Project Types Except Coordinated Entry

All Project Types Except Coordinated Entry - answer questions 29-31 using the Evaluation Report, based on HMIS data.

Question 29: Non-cash benefits include the following: Supplemental Nutritional Assistance Program (SNAP), Special Supplemental Nutrition Program for Women, Infants, and Children (WIC), TANF Child Care Services, TANF transportation services, Other TANF-funded services, or other source. Non-cash benefits do not include health insurance.

Formula Used for Calculation of Question 29

$$\frac{\text{Number of households for which no member has a non cash benefit}^4 \text{ at program entry and the head of household has either been enrolled for at least 365 days or exited the project during the reporting year and at least one member has obtained a non cash benefit}^4}{\text{Number of households for which no member has a non cash benefit}^4 \text{ at program entry and the head of household has either been enrolled for at least 365 days or exited the project during the reporting year}}$$

Question 30: The percentage of adult program participants who have health insurance.

Formula Used for Calculation of Question 30

$$\frac{\text{Number of participants who were adults at the greater of the project entry date and } 1-1-2017 \text{ who have health insurance}}{\text{Number of participants who were adults at the greater of the project entry date and } 1-1-2017}$$

Question 31: Clients who started with 0 income and ended with 0 income count against the project.

Formula Used for Calculation of Question 31

$$\frac{\text{Number of households for which the head of household has either been enrolled for at least 365 days or exited the project during the reporting year and the total income within the household is greater than zero and is greater than or equal to the total income within the household at project entry}}{\text{Number of households for which the head of household has either been enrolled for at least 365 days or exited the project during the reporting year}}$$

Final Submission

Once you are ready to submit each Project Component, you will need to complete the Certification Page. There will be a link available for you to review a PDF of your responses. **It is highly recommended that you review the PDF and print this document for your records.** Be sure to review each question to ensure accurate responses are submitted.

Click below to review a PDF of your responses BEFORE clicking submit. Evaluation Instruments submitted prior to completion cannot be edited and will need to be resubmitted in its entirety.

Click Here to Download PDF Version of Your Responses

Only an Authorized Representative should submit the final Evaluation Instruments for your agency. An Authorized Representative should be a high-level person in the organization who is authorized to enter into contractual agreements. Typically it is the CEO or Executive Director, though for large agencies it may be another senior level person. This representative will check the box to certify the submission and "sign" electronically by typing their name and title to authorize the submission.

Once these steps have been completed and you have reviewed your responses, including all narratives and attachments, click *Submit*.

NOTE: ALL SUBMISSIONS WILL BE CONSIDERED FINAL. DO NOT SUBMIT THE ONLINE EVALUATION INSTRUMENT UNTIL YOUR RESPONSES ARE READY FOR REVIEW.

A confirmation email will be sent to the email address indicated in the Primary Contact Information section each time you submit a component. This email will also contain a link to the PDF copy of your responses. **It is recommended that you keep a copy of all confirmation emails for your records.**

Appendices

The following items are referenced throughout the Evaluation Instrument and will be used to answer the questions indicated.

2018 Evaluation Instrument Appeal Form	*Required to utilize when submitting all appeals.*
FAQs and Scoring Guide	*Reference for additional scoring details and FAQs.*
2014 Program Models Chart (Updated in 2017)	*Required to reference for Project Component.*
Recapture Spreadsheet	*Required for Project Component, Section B. Project Operations, Q1.*
2018 Evaluation Report Guide	*Required for Project Component, Threshold – 80% Utilization; System Priorities; and Project Performance*

All documents listed above are also available to view at any time by visiting www.allchicago.org.

List of Attachments

Any required attachments will be indicated within the questions themselves, however it may be helpful to have these items prepared ahead of time:

- ☐ *Agency: Threshold Q4: Most recently completed audited financial statement (complete package).*
- ☐ *Agency: Threshold Q5: If undergone, single audit report (complete package). Otherwise, most recently completed audited financial statement plus auditor's management letter, AU 260 letter ("Auditor's Communication with Those Charged with Governance"), and AU 265 letter ("Communicating Internal Control Related Matters Identified in an Audit")*
- ☐ *Agency: Additional Financial Review Q1: FOUR (4) of the most recent Employer's Quarterly Federal Tax Return Form 941*
- ☐ *Agency: Agency Governance Q2: Agency Policies and Procedures for Continuous Quality Improvement*
- ☐ *Agency: Consumer Focus and Representation Q4: Client Rights document*
- ☐ *Agency: Consumer Focus and Representation Q7: Consumer Satisfaction Survey (if applicable)*

- ☐ *Project: Threshold Q1; Project Performance (all):* 2018 HUD Evaluation Report *in* ***Excel Format*** *for January 1, 2017 to December 31, 2017*
- ☐ *Project: Threshold Q2: Most Recently submitted APR (Sage) in* ***PDF Format***
- ☐ *Project: Project Operations Q1:* 2018 Recapture Spreadsheet (if applicable)
- ☐ *Project: Project Operations Q1: Documentation demonstrating project is new, merged or transfer (if applicable)*
- ☐ *Project: Project Operations Q3: Other law/policy governing the project (if applicable)*
- ☐ *Project: System Priorities Q3: Project's Written Eligibility Criteria*

Please note this is not an exhaustive list of attachments. Other attachments may be required based on responses provided, such as letters of explanation. Be sure to read each question carefully to ensure all required attachments are submitted. Also be sure to follow all upload instructions regarding file type, file size limits, and naming conventions.

Advanced Reporting Tool (ART) Instructions

NOTE: Only Agency Technical Administrators (ATAs) have the ability to run reports from ART in HMIS. It is recommended that you contact your ATA as soon as possible to ensure data quality and retrieve the required reports. Please contact the HMIS Helpdesk if you have further questions related to running reports.

For the purpose of completing the Evaluation Instrument, the 2018 HUD Evaluation Report should be run for the timeframe of **January 1, 2017 – December 31, 2017, unless otherwise indicated**. Please pay close attention to the dates and file types specified in each question or upload. Reports must be uploaded in the appropriate format and must be run using the correct prompts and dates. All pages must be submitted with any report requested and reports must not be altered in any way. Incomplete or incorrect reports will not be accepted for scoring. Please also review the Technical Deficiencies Policy under Appendix: Submission Policies.

2018 HUD Evaluation Report

The 2018 Evaluation Report is to be used with Project Component, Threshold Questions; Section E. Project Performance and Consumer Outcomes; and Section D. System Priorities. This is custom report designed to provide the responses needed to answer data-informed questions throughout the Evaluation Instrument.

ATAs may review instructions on how to run the 2018 Evaluation Report here: 2018 HUD Evaluation Report Documentation and Instructions.

All formulas have been included in the instructions for each question in this guide. A complete list of all formulas is available in the 2018 HUD Evaluation Report Documentation and Instructions.

For all reporting related inquiries, please contact the HMIS Helpdesk:

hmis.allchicago.org – Submit a Ticket

E: hmis@allchicago.org

Submission Policies

Paper Submissions

Paper submissions will not be accepted unless the agency can demonstrate that utilizing the online format will present an extreme hardship. The use of paper format must be approved by All Chicago prior to the submission deadline. If you believe your agency will have an extreme hardship due to submitting the survey online, it is advisable to contact All Chicago as soon as possible in writing to request the paper submission format. All Chicago reserves the right to deny any request for paper submission.

Missing or Late Submissions

Projects that do not turn in an *application or evaluation* by the stated deadline will have their funding reallocated by the CoC Board.

Agencies/Projects who have extreme extenuating circumstances that arise on the day of submission may file an appeal with supporting documentation. All Chicago will make a determination on the appeal and if needed, further appeals may be submitted in accordance with the Appeals policies set by the CoC Charter. If any party of the appeals process determines to accept the submission for ranking, there will be an automatic 2 point deduction from the project's score for tardiness.

Multiple Submissions

Once a submission has been made, it will be considered final and corrections can only be made by re-submitting **a full survey** (before the deadline), including all responses and attachments, and notifying All Chicago of a corrected submission. In the case that multiple submissions are received for the same agency or project component, the last submission will be considered final unless the agency notifies All Chicago in writing via email to use a previous submission.

Probation and Technical Assistance

Projects scoring below 2 standard deviations of the mean will be put on funding probation and will automatically receive a monitoring review along with technical assistance in 2018 from All Chicago staff. Projects scoring below 2 standard deviations of the mean again in the following evaluation process may have their funding reallocated by the CoC Board.

Technical Deficiencies Policy *(Threshold Questions)*

Projects that have missing or incomplete answers or attachments on **Threshold Questions** will be issued a Technical Deficiency Notice by All Chicago staff and will be given three (3) business days to acknowledge receipt of the Notice and begin working on a response. All Chicago and the agency will establish a reasonable response time for the agency to complete the question(s) or submit the attachment(s). Agencies will have no more than one opportunity to submit the corrected attachment. **Failure to submit the correct information may result in a loss of funding for that project.** If the agency submits an Evaluation Instrument with missing or incomplete Threshold questions for 2 or more consecutive years, even if the agency responds to a Technical Deficiencies Notice, their funding may be reallocated by the CoC Board.

Technical Deficiencies Policy *(Non-Threshold Questions)*
Projects that have missing attachments on **Non-Threshold Questions** will be issued a Technical Deficiency Notice by All Chicago staff and will be given three (3) business days to acknowledge receipt of the Notice and begin working on a response. All Chicago and the agency will establish a reasonable response time for the agency to complete the question(s) or submit the attachment(s). Agencies will have no more than <u>one</u> opportunity to submit the corrected attachment. **While the agency is able to resubmit the attachment, the project will lose a half (.5) point *per attachment* not included with original submission. Failure to submit the correct attachment in response to the Technical Deficiencies Notice will result in a loss of all points for any associated question.** If the agency submits an Evaluation Instrument with missing or incomplete attachments for 2 or more consecutive years, even if the agency responds to a Technical Deficiencies Notice, their funding may be reallocated by the CoC Board.

REMINDER: **All submissions are due by 5:00pm (CST) on March 9, 2018**. It is highly recommended that agencies submit as early as possible before the deadline so as to allow enough time to address any technical difficulties that may arise in submitting evaluations. Please check all responses and open all attachments to ensure accuracy prior to submission.

Be advised, All Chicago business hours are from 9am to 5pm Monday through Friday. Staff will <u>not</u> be available to respond to questions outside of these hours. Additionally, please allow <u>up to 48 hours</u> for a response, as we do experience a significant increase in communication during this time. Please plan accordingly.