2021 CoC Program Monitoring

Instruction Manual

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Introduction

All Chicago views monitoring as a collaborative partnership with agencies that results in positive growth for our community's homeless response system. We look forward to working with selected partner agencies to learn more about the agencies and their CoC-Funded programs.

It is our goal to provide a clear and streamlined monitoring process. Therefore, the following pages contain step by step guidelines to completing the monitoring process from start to finish.

We strongly recommend reading the CoC Monitoring Policy in its entirety. This policy contains important information such as the agency selection process, monitoring methods, the communication strategy, the policy for sharing results, and details regarding the process for the Targeted Client File Review.

All Chicago's monitoring team is happy to provide clarification about any part of the monitoring process. Please feel free to reach out with any questions you may have:

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Step by Step Procedure

1. The agency is notified of selection for monitoring via email.
2. All Chicago and the agency will schedule the Targeted Client File Review date. The file review will be scheduled a minimum of 4 weeks after notification. If a need to reschedule arises, request to reschedule no less than 1 week prior to the chosen date.
3. All Chicago will offer a conference call with the agency to answer questions about the monitoring procedures.
4. The agency prepares by reviewing the CoC Monitoring Policy, CoC Monitoring Instruction Manual, and Targeted Client File Review Tool and by collecting the information needed to complete the Pre-Monitoring Questionnaire.
5. The Pre-Monitoring Questionnaire is due no less than three weeks before the scheduled date. The questionnaire contains information needed by All Chicago to prepare for the review, including information about the projects (so reviewers can account for how these details impact program regulations), case load lists of current participants (used in file selection), policies and procedures the agency has updated (so reviewers have most recent versions when reviewing the files), and staff list (so reviewers can select a staff member to interview).
6. No less than two weeks before the scheduled date, the agency will be notified by email when access to a Sharepoint folder has been granted. This is where the agency will save the requested documents from the file. Please test your access and ability to upload documents to the folder.
7. One week before the scheduled date, the agency receives the list of clients whose files are requested for the Targeted Client File Review. This list will identify which forms/documents are requested for each participant. Files must be uploaded by 9am on the scheduled date.
8. On the scheduled date of the Targeted Client File Review, a 30-minute conference call will take place at the beginning of the day to: ensure files are visible, explain how All Chicago will review the files, and confirm how to reach staff if questions arise.
9. A staff interview (30 minutes) will be arranged for the day after the file review date.
10. An exit conference call will take place the day after the file review date to share preliminary notes from the review.
11. All Chicago will send the agency a Monitoring Summary Report and, when necessary, a Technical Assistance (TA) Plan within 2 weeks of the review. In cases where reviewers need to seek additional guidance on documentation requirements, reviewers will notify the agency if additional time is needed to finish the report. The report will identify whether a Performance Improvement Plan (PIP) is required.
12. If necessary, technical assistance will be scheduled with the agency following their receipt of the Monitoring Summary Report.

13. For agencies that do not require a PIP, All Chicago issues a close-out letter once TA activities are completed. The agency also receives a feedback survey on the monitoring process.
14. For agencies that require a PIP, the agency submits a draft PIP to All Chicago thirty days after receiving the Monitoring Summary Report and TA Plan.
15. Within two weeks of submitting the PIP, staff from the agency and All Chicago have a conference call to discuss and finalize the plan.
16. Three months after the PIP is finalized, the agency submits a progress report.
17. All Chicago reviews the progress report to determine if the agency is taking appropriate steps and heading in the right direction. At this point, it is okay if all action items are not completed. If the agency is not taking steps that are needed to progress towards completing the plan, All Chicago will determine a schedule for continuing to check in about it.
18. Once All Chicago determines check-ins are not needed, All Chicago will issue a close-out letter and the agency will also receive a feedback survey on the monitoring process. All Chicago will be open to further communication and support around the plan after the close-out letter has been issued, if this is desired by the agency. A communication plan may be created for this purpose.

Pre-Monitoring Questionnaire

Introduction

The purpose of this form is to submit information All Chicago needs to successfully complete the monitoring process and accurately review the agency's projects. If an agency has multiple HUD CoC-Funded projects, all of them will be monitored. Please login to this form multiple times to complete the "Project Information" section for each of your projects (a separate username and password will be provided for each project). You only need to complete the "Agency Information" and "Staff List" sections once.

For the Project Information section, All Chicago will pre-populate information that we already have on file. Please fill in the rest of the blank fields. If any of the pre-populated information is incorrect, please correct it and let us know what you corrected in question 23.

Please click here to submit this form online. Before beginning, you will receive an email from All Chicago with a username and password to use when completing the form.

Your Name: ____

Your Title: ____

Your Email: ____

Your Phone Number: ____

Agency Name: ________________________

Agency-Level Questions

1. Does the agency have an Emergency Recordkeeping Policy and Procedure? If so, please upload it. File Upload

2. In 2019, agencies submitted the following policies through the Intent to Renew Process: Intake Procedure and Packet, Eligibility Criteria, Discharge/Termination Policy, Grievance/Due Process Policy, and Service Plan Policy. All Chicago will refer to the policies that are on file from the 2019 ITR process when completing the monitoring review. Has the agency updated any of these policies since last submitting them to All Chicago in the 2019 Intent to Renew? If so, please upload the current version. File Upload

Staff List

All Chicago will conduct a short staff interview covering implementation of best practices/proven approaches. Please submit a list of staff members who work on your HUD CoC-Funded Project(s) and All Chicago will notify you at least 1 week before the visit which staff member is requested to be available for a 30-minute interview. In the list of staff, please include all staff members and managers involved in the delivery of the program and its services (i.e., case managers, intake staff, housing specialists, clinical staff, etc.). You do not need to include staff that indirectly support the project (i.e., finance department, human resources, etc.). Provide the following details for each staff member: first and last name, title, approximate length of employment at the agency, and the approximate length of employment in the current role (if the person's role has changed since becoming employed at the agency). To submit the list, you may choose whether to complete the chart below or upload a file.

Name (Last, First)	**Title**	**Which HUD CoC-funded project(s) does the staff member support?**	**Length of employment (approximate)**

File Upload:

Grant Overview and Case Load Lists

Complete this information for each HUD CoC-Funded project. Use the grant that starts in 2021 and ends in 2022, unless the project has not yet started for this time period, in which case use the grant that started in 2020 and ends in 2021.

1. Project Name (HUD CoC Grant Name): ___________________________
2. Does the agency internally refer to the project by any other name? ____________________
3. HMIS ID & HMIS Project Name: ___________________________
4. Project Pin (i.e., six digits such as IL1234): ___________________________
5. Grant Start & End Date: ___________________________
6. HUD Program Model Type: ___________________________
7. Chicago Program Type: ___________________________
8. Grant Amount: ___________________________
9. Number of Units: ___________________________
10. Number of Beds: ___________________________
11. Budget Lines (if amended, input amended amounts):

    ___________ Leasing

    ___________ Rental Assistance

    ___________ Supportive Services

____
__________ Operating Costs
__________ HMIS
__________ Admin

12. How old is the grant? ________________________
13. Did the agency inherit the grant? If so, when? ________________________
14. Are any units dedicated to the chronically homeless? If so, how many?
    ____
15. Does the agency own the units? ________________________
16. Is the housing project-based or scattered-site? ________________________
17. If the program has a rental assistance budget, is the rental assistance tenant-based, project-based, or sponsor-based rental assistance? ________________________
18. Does this program combine funding from other sources? If so, please explain the sources, what the other funding supports, and if there are any conflicting funding requirements.
    ____
    ____
19. Does the program serve families? ________________________
20. Does the program have a special population focus? If so, please describe.
    ____
    ____
21. Upload a case load list. This list should identify the HMIS ID and the name of the case manager for all the current program participants.
    File Upload:
22. Upload a copy of the most recent executed grant agreement and any grant amendments.
    File Upload:
23. Was any of the pre-populated information incorrect? Please let us know what you corrected.
    ____
24. Please provide any additional information you would like us to know about the project.
    ____

List of Forms/Documents Under Review

This chart contains a complete list of forms/documents that All Chicago will review. Every form/document will not be requested for every file selected. When you receive the list of participants whose files are selected (one week before the scheduled date), the list will indicate which forms/documents to upload for each participant. Please use the File Naming Protocols listed below when naming the files you upload.

File Review Section	Applies to which project types?	Form / Document to Upload	File Naming Protocol
Homeless documentation	All project types	See Targeted File Review Tool for list of possible documentation to submit (A(1)(i-vi)). Documentation must establish homeless status at time of participant's enrollment into the project.	HMIS ID_Homeless Doc
Chronic homeless documentation	PSH only	Homeless documentation (above) AND Chronic Homelessness Verification Packet AND disability documentation	HMIS ID_Homeless Doc; HMIS ID_CH Packet; HMIS ID_ Disability Doc
Individual Service Plans	All project types	Completed and in progress ISPs. Submit the original ISP as well as every additional version/update.	HMIS ID_ISP_Date
Exits	All project types	Letter to participant documenting reason for termination and due process AND documentation of exit destination (or attempts)	HMIS ID_Exit letter; HMIS ID_Exit destination
Homeless documentation & HMIS data entry review	All project types	Intake form completed when participant entered the project; Signed acceptance of rules/regulations for the program (if used by project)	HMIS ID_Intake; HMIS ID_Program Acceptance
HMIS data entry review	All project types	Submit the original signed client consent and supplemental forms from when the participant entered the project.	HMIS ID_Consent; HMIS ID_Supplemental (or you can scan them together)

HMIS data entry review	PSH and RRH only	Submit the original executed lease from when the participant was first housed.	HMIS ID_Lease
All sections of the file review	All project types	For any documentation you are uploading, upload all relevant case notes that will be useful for the reviewer (for example, a note that documents attempt at contact).	HMIS ID_Case Note_Date

Procedures for Uploading Documents

All Chicago will create a Sharepoint folder that the agency staff will have permission to access and upload documents to. Please test your ability to access the folder within five days of receiving the link and inform All Chicago if there are any technical difficulties. One week before the review, All Chicago will send a list of the program participants whose files are requested. The list will identify which forms/documents are requested for each participant (do not assume you need to upload everything for every participant). The same day that you receive the list, All Chicago will create a subfolder for each participant who has been selected. Upload the requested documents into each participant's folder and use the requested File Naming Protocols (see List of Forms/Documents Under Review). Files must be uploaded by 9am on the scheduled date.

Emergency Recordkeeping due to COVID-19

If an agency's documentation and recordkeeping standards were impacted by the COVID-19 pandemic, an Emergency Recordkeeping Policy is required. Provide a copy of the agency's policy when submitting the Pre-Monitoring Questionnaire. All Chicago reviewers will reference each agency's procedures when reviewing files.

HUD COVID-19 Waivers that Impact this Review

Beginning in March 2020, HUD made available a series of regulatory waivers to assist affected Community Planning and Development (CPD) program beneficiaries and program eligible households to prevent the spread of COVID-19 and to mitigate against the economic impact caused COVID-19 for eligible households. A full list of waivers available to CoC-funded programs is found here. The chart below is a list of file components that All Chicago will be reviewing and for which requirements have changed due to the available waivers. This chart outlines what the project should upload to demonstrate compliance with waiver requirements. If a project did not use a waiver, then the usual requirements will be evaluated instead (per the Targeted Client File Review Tool).

File Review Section Impacted	Applicable Waiver	Summary of change due to Waiver	File Naming Protocol
Chronic homeless documentation (PSH only)	Disability documentation	Waiver first issued 3/31/20. If using this waiver, provide all the following: a copy of each notification the agency made to HUD for this waiver, the agency's emergency recordkeeping policies and procedures, the self-certification of disability that is allowed instead of 3rd party documentation, and a file notation outlining use of the waiver for the participant.	HUD Waiver Notification_Date; Agency Name_Emergency Recordkeeping; HMIS ID_Disability Doc; HMIS ID_Disability File Notation
Homeless documentation	Homeless Definition – Temporary Stays in Institutions of 90 Days or Less	Waiver first issued 9/30/20. If a participant entered the program after exiting an institution where they resided for more than 90 days but less than or equal to 120 days, provide all the following: a copy of each notification the agency made to HUD for this waiver, the agency's emergency recordkeeping policies and procedures, a file notation outlining use of the waiver for the participant, documentation of institutional stay and homelessness prior to institution (see *Targeted File Review Tool A(1)(ii-iii)*).	HUD Waiver Notification_Date; Agency Name_Emergency Recordkeeping; HMIS ID_Institution File Notation; HMIS ID_Homeless Doc
Individual Service Plans (RRH projects only)	Rapid Re-housing Monthly Case Management	Waiver first issued 3/31/20. If using this waiver, provide all the following: a copy of each notification the agency made to HUD for this waiver, the agency's emergency recordkeeping policies and procedures, file notations for monthly case management services that were impacted.	Agency Name_Emergency Recordkeeping; HUD Waiver Notification_Date; HMIS ID_RRH file notation_Date