



2015 HUD CoC Competition Evaluation Instrument

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

[AGENCY COMPONENT]

2015 HUD CoC Competition Evaluation Instrument - Agency Component
Must be completed by ALL CoC-funded projects within the Chicago CoC by February 20, 2015.

General Instructions

Each year, on behalf of the CoC Board, the Chicago Alliance to End Homelessness carries out an evaluation of all agencies and projects applying for renewal HUD Continuum of Care (CoC) funds. **In 2015, all agencies receiving HUD CoC funding must submit an Evaluation Instrument.** This includes projects formerly classified as Supportive Housing Program (SHP), and Shelter Plus Care (SPC). SHP and SPC programs fund Permanent Housing (PH), Transitional Housing (TH) and Supportive Service Only (SSO) programs.

The 2015 Evaluation Instrument contains 2 sections, the Agency Component (worth 17 points) and the Project Component (worth 83 points). All agencies must submit one Agency Component, followed by Project Components **for each project** receiving HUD CoC funding that had a grant period operating between January 1, 2014 to December 31, 2014. Please note, all former Shelter Plus Care projects must submit an evaluation, regardless of renewal date. **All agencies are required to utilize the 2015 Instruction Manual to complete the 2015 Evaluation Instrument.** If you have questions, please email CoCPrograms@allchicago.org.

Attachment Checklist for Submission

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

Threshold Section

- Most recent Audit Report & Management Letter
- A133 Form (if applicable)
- Waiver Request letter for any “No” response (if applicable) (Q1-Q3)

Additional Financial Review

- Most recent Employer’s Quarterly Federal Tax Return, Form 941
- Most recent 990 IRS Form: Return of Organization Exempt Form Income Tax
- Explanatory Letter for any “No” response (if applicable) (Q1-Q3)

A. Agency Certification Checklist

No attachments necessary for this section

B. Agency Governance

No attachments necessary for this section.

C. Consumer Focus and Representation

- Consumer Rights documentation

Cover Page Information

Agency Information

Agency Name _____

Associated HUD

Project Names

(include all CoC-funded projects)

1. _____

2. _____

3. _____

7. _____

8. _____

9. _____

Project component

4. _____

10. _____

must be filled out

5. _____

11. _____

for each project

6. _____

12. _____

listed.

Primary Contact Information for Agency Component

Contact Name _____

Contact Phone Number _____

Contact Title _____

Contact Address +

City, St, Zip _____

Contact Email

Address _____

Threshold Questions

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

- | | |
|--|---|
| 1. Does the agency agree to maintain the confidentiality of non-HMIS records pertaining to any individual or family who receives family violence prevention or treatment services with HUD CoC funding? | <input type="checkbox"/> Yes
<input type="checkbox"/> No |
| 2. Does the agency provide for the participation of at least one homeless or formerly homeless individual on the board of directors or other equivalent policymaking entity?

<i>If "Yes, other equivalent policymaking entity," please describe the entity, its nature, and how the person is able to participate in the space below:</i>

_____ | <input type="checkbox"/> Yes - Board
<input type="checkbox"/> Yes - Other
<input type="checkbox"/> No
<input type="checkbox"/> N/A – Government Agency |
| 3. Does the agency have a clean, independent financial audit completed within 9 months of the end of the fiscal year?

<input type="checkbox"/> <i>Audit Report & Management Letter attached (required)</i>
<input type="checkbox"/> <i>A133 form attached (required, if applicable)</i> | <input type="checkbox"/> Yes
<input type="checkbox"/> No |

Additional Financial Review

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

1. Can the agency demonstrate that it has met its payroll obligations consistently for at least the last 6 months? Yes No

Agency's most recent Employer's Quarterly Federal Tax Return, Form 941 is attached (required)

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

Agency's most recent 990 IRS Form: Return of Organization Exempt From Income Tax attached (required)

3. Has the agency executed grant agreements for all of its HUD CoC grants for the term beginning in 2014? Yes No

A. Agency Certification and Site Visit Requirements

The certification checklist is a way for agencies to demonstrate compliance with the standards outlined by HUD and the Chicago CoC, without having to submit the extensive documentation required in the past. The certification checklist must be completed and signed by an Authorized Representative of the agency and verify that the required standards and documentation are in place. Starting in 2015, the Chicago Alliance, in conjunction with the HUD McKinney Vento (HNV) Committee, will be conducting site visits to selected agencies and will request the supporting documentation to support any "Yes" response provided in the section below.

Grant Management

- | | |
|---|--|
| 1. The agency has internal controls to ensure that grant funds are being used appropriately; to control against waste, theft and inefficiency, to ensure accuracy and reliability of financial information, and to encourage compliance with policies. | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 2. The agency has a system in place to accurately track grant matching as it is expended. | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 3. The agency compares actual expenditures for the grants with the budgeted amounts (including the amounts budgeted for each eligible expenditure category) on a regular, on-going basis. | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 4. The agency has cash management procedures in place to ensure that payment for project costs have already occurred, or will occur within 3 business days of the date of the deposit of grant funds. | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 5. The agency has accounting procedures in place to ensure that expenditures are supported by appropriate documentation, including time and activity sheets for wages, and that program costs are eligible under the grant program. | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 6. The agency has a system in place for maintaining its financial records relative to the grant for three years from its last expenditure report to HUD, or until any litigation, claim, audit or other action involving the records has been resolved, whichever comes later. | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 7. The agency has internal financial controls in place that ensure duties are divided, or segregated, among distinct staff persons to reduce the risk of error or inappropriate actions. | <input type="checkbox"/> Yes <input type="checkbox"/> No |

Staff Policies and Procedures

- | | |
|---|--|
| 8. The agency has written documentation of staff rules and regulations that includes: standards for employee professional conduct, job descriptions, job duties and responsibilities, and emergency protocols. | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| 9. Staff receives a copy of rules and regulations, mentioned previously, upon hire. | <input type="checkbox"/> Yes <input type="checkbox"/> No |

Must be completed by ALL CoC-funded projects within the Chicago CoC by February 20, 2015.

10. Staff receives periodic training on safety and evacuation procedures to ensure safety of staff and consumers. Yes No

11. The agency has the following Human Resource policies in place:

a. Sexual harassment Yes No

b. Non-discrimination Yes No

c. Whistle blower policies that protect against retaliation Yes No

d. Employee Code of Conduct Yes No

e. Employee and consumer grievance procedures Yes No

f. Confidentiality policies Yes No

g. Conflict of interest policy Yes No

h. Explanation of employee benefits Yes No

i. Employee expectations (work hours, calling off work, performance management and review, confidentiality, discipline and termination of employment) Yes No

12. The agency has written staff evaluation procedures and forms to ensure all agency staff, which has been employed for at least one year, participated in an evaluation process that occurs at least annually. Yes No

13. The agency has a practice or policy that ensures all HUD project staff participates in supervision that occurs as least monthly. Yes No

14. The agency has a practice or policy that ensures all staff are trained on the agency's Code of Conduct. Yes No

15. The Agency is able to provide documentation that demonstrates any of the following to support staff in implementing the housing first approach:

a. Formal Trainings in harm reduction Yes No

b. Formal trainings in motivational interviewing Yes No

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

d. On-site, ongoing one-on-one support (ex: regular supervision) Yes No

e. Off-site, ongoing group support (ex: from peers, roundtables) Yes No

f. Off-site, ongoing one-on-one support Yes No

Homeless Management information System (HMIS) Policies and Procedures

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

N/A – DV
Agency

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

No Website

N/A – DV
Agency

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

N/A – DV
Agency

19. Does the agency have the Client Consent for Data Sharing Packet available and require each consumer to sign the Consent form (Release of Information) for all consumers who are entered into HMIS? Yes No

N/A – DV
Agency

Advocacy and Civic Engagement

20. The agency has a policy on Advocacy and Civic Engagement. Yes No

21. The agency is able to provide documentation where a representative (i.e. consumer, staff, board, volunteer) of the agency participated in any advocacy/civic engagement activities in the last year. Yes No

Consumer Focus and Participation in Agency Operations

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

23. The agency is able to provide documentation that demonstrates the direct consumer input (i.e. agenda/minutes where consumer input was discussed with Board representation present). Yes No

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

25. The agency is able to demonstrate how the feedback received from Consumer Engagement Sessions or Consumer Satisfaction Surveys were implemented based on the narrative provided during the Evaluation Instrument process. Yes No

Certification

By checking this box and entering the Authorized Representative name in the space below, I certify (1) to the statements contained in the list of certifications above (2) that the information throughout the application is true, complete, and accurate to the best of my knowledge and (3) all supporting documentation will be reviewed during a site visit conducted by HVM and the Chicago Alliance staff.

Authorized Representative Signature (type name and title)

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

B. Agency Governance: 5 Points

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

1. Does someone from your agency participate as an active member of any of the following committees/commissions (2014 Membership)? *If Yes, please complete chart below.*

Yes *2 points for Yes and completed chart.*
 No

Responses verified with Committee Rosters and Attendance

✓ For Yes	CoC Committee/Commission	Name of Member(s)
<input type="checkbox"/>	Chicago Planning Council on Homelessness	_____
<input type="checkbox"/>	HMV Committee	_____
<input type="checkbox"/>	HMIS Committee	_____
<input type="checkbox"/>	Service Providers Commission Executive Committee	_____
<input type="checkbox"/>	Service Providers Commission	_____
<input type="checkbox"/>	Plan Advisory Committee	_____
<input type="checkbox"/>	Advocacy Committee	_____
<input type="checkbox"/>	Constituency Groups (list name of group(s) below): 1. _____ 2. _____ 3. _____ 4. _____ 5. _____	1. _____ 2. _____ 3. _____ 4. _____ 5. _____
<input type="checkbox"/>	Other: _____	_____

2. Does the agency encourage consumers to participate in the day-to-day operations of the agency? *If Yes, please complete the chart below.*

Yes *1 point for Yes and completed chart*
 No

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

Must be completed by ALL CoC-funded projects within the Chicago CoC by February 20, 2015.

3. Does the agency have standards or policies in place to ensure that continuous quality improvement processes are used to improve project operations?

Yes *2 points for*
 No *Yes and*
 completed
 chart

✓ For Yes	Continuous Quality Improvement Processes Used at Agency
<input type="checkbox"/>	Assessment of project performance
<input type="checkbox"/>	Measurable goal setting
<input type="checkbox"/>	Data collection and monitoring
<input type="checkbox"/>	Scheduled review of participant charts
<input type="checkbox"/>	Correction plans if standards are not met
<input type="checkbox"/>	Established process for reporting outcomes and performance throughout agency
<input type="checkbox"/>	Other: _____

C. Consumer Focus and Representation: 12 Points

It is a priority of the CoC Governing Board to ensure that all services reflect the expressed needs of persons who are experiencing homelessness. The CoC Governing 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.

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

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

3. Are there avenues for consumers to provide anonymous feedback? Yes *1 point for Yes and completed narrative*
 No *Yes and completed narrative*
If Yes, please provide a narrative that describes the process that allows for consumers to give anonymous feedback without negative consequences in the space below. _____

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

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

Please attach agency's Consumer Rights documentation.

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

6. Was the agency selected to participate in the Consumer Engagement Sessions this year? Yes *Informational Question*
Agencies were notified in December 2014 if selected for the CES. If you did not receive notification in December, please select No. No *Question*

7. Does the agency regularly (at least annually) conduct a consumer satisfaction survey? *The HVM Committee in conjunction with the Lived Experience Commission have developed a [consumer satisfaction survey sample](#) which can be utilized at your agency.* **Yes** *Informational*
 No *Question*

8. Can your agency demonstrate that it responds to the feedback received from either the Consumer Engagement Session or consumer satisfaction surveys? **Yes** *6 points for*
 No *Yes and completed narrative*

If Yes, please provide a narrative that describes at least one issue that arose from the feedback. Please fully explain how the agency plans to resolve the issue and how the agency will post/distribute the responses given in this section to consumers in the space below. _____
