2018 CoC Competition Evaluation Instrument

For all HUD CoC-funded projects in the Chicago Continuum of Care
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* Note that the due date of March 9, 2018 may be changed to an earlier date pending HUD Application release.
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.

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

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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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.

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

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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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 (LTR) 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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Due on March 9, 2018*

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. You will only need to do this once. 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."

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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

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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

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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.

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

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](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](http://www.allchicago.org)
- Frequently Asked Questions Document: [Google Docs](#)
- HMIS Helpdesk: [https://hmis.allchicago.org](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.

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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

<table>
<thead>
<tr>
<th>Criteria</th>
<th>Risk Points:</th>
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</thead>
<tbody>
<tr>
<td>Single Audit Required *</td>
<td>0 if yes, 5 if no</td>
</tr>
<tr>
<td>Financial Statement Review:</td>
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<td>• Financial Statements audited within 9 months</td>
<td>0 if yes, 10 if no</td>
</tr>
<tr>
<td>• Auditor’s report</td>
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<td></td>
<td>Qualified = 5</td>
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<td></td>
<td>Disclaimer = 10</td>
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<td></td>
<td>Adverse - 25</td>
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<td>• Internal controls over reporting:</td>
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<tr>
<td># of material weaknesses</td>
<td>5 points per item</td>
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<td>5 points per item</td>
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<td>Federal Awards:</td>
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<td>• Internal controls over major programs:</td>
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<tr>
<td># of material weaknesses</td>
<td>10 points per item</td>
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<tr>
<td># of significant deficiencies</td>
<td>2 points per item</td>
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<td></td>
<td>Modified = 10</td>
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<tr>
<td>• 2 CFR Section 200.516(c) Disclosures</td>
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<tr>
<td># of findings</td>
<td>10 points per item</td>
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<tr>
<td>• Low Risk Auditee?</td>
<td>0 if yes, 10 if no</td>
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<tr>
<td>941s</td>
<td>0 if submitted</td>
</tr>
<tr>
<td></td>
<td>10 if not submitted</td>
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*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.

**Staff Policies and Procedures (Questions 10-11)**

**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

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

**Homeless Management Information System (HMIS) Policies and Procedures (Questions 12-14)**

**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.

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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:

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• 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.

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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

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

Agencies should use a recent example and should not 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.

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

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.

Evaluation Instrument Certification

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

☐ By checking this box and entering the Authorized Representative name in the space below, I certify (1) that I have reviewed the responses in this evaluation instrument for completeness and accuracy and (2) that the information throughout the application is true, complete, and accurate to the best of my knowledge and (3) all supporting documentation and attachment will be made available during site visits conducted by Chicago Alliance staff.

Authorized Representative Signature (type name and title): *

Characters used: 0 out of 400.

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.

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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 or most recent HUD grant number for this project. If you are unsure, please use the grant number indicated on the FY17 GIW.
  - For consolidated projects, please use 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.

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Due on March 9, 2018*

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.

To meet threshold, projects must be at or above 80% for average bed utilization rate AND at each of the 4 point-in-time bed utilization 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, as indicated in the project’s HUD contract, 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 in PDF format 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.

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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

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• 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.

**Grant Management (Questions 1-3)**

**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.

**Housing Quality and Standards (Questions 4-5)**

**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.

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

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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-
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.

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

**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](https://www.hud.gov/lawsregs/regs/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](https://www.hud.gov/lawsregs/regs/chronic-homelessness) 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](https://www.hud.gov/lawsregs/regs/chronic-homelessness). All projects will be scored on this question based on the data in HMIS only.

### Formula Used for Calculation of System Priorities Question 1

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

**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](https://www.hud.gov/lawsregs/regs/chronic-homelessness) 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

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Due on March 9, 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**

<table>
<thead>
<tr>
<th>Number of heads of household entered into the project between 1/1/2017 and 12/31/2017 with:</th>
</tr>
</thead>
<tbody>
<tr>
<td>i. “Yes” response to the question “Does the client have a disabling condition?”</td>
</tr>
<tr>
<td>ii. An age between 14-24 at entry</td>
</tr>
<tr>
<td>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</td>
</tr>
<tr>
<td>iv. Veteran status marked as “Yes”</td>
</tr>
</tbody>
</table>

| 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.

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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.

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.

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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)](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**

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

---

* Note that the due date of March 9, 2018 may be changed to an earlier date pending HUD Application release.
Permanent Housing with Short Term Supports

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

Formula Used for Calculation of Question 3

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

Formula Used for Calculation of Question 4

\[
\text{Number of households whose head of household exited the project to a permanent destination} = \frac{\text{Number of households whose head of household exited the project and exited within 120 days of entering the project}}{\text{Number of households whose head of household exited the project and exited within 120 days of entering the project}}
\]

Formula Used for Calculation of Question 5

\[
\text{Number of households whose head of household exited the project to a permanent destination} = \frac{\text{Number of households whose head of household exited the project and exited within 731 days of entering the project}}{\text{Number of households whose head of household exited the project and exited within 731 days of entering the project}}
\]

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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 6**

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

**Formula Used for Calculation of Question 7**

\[
\frac{\text{Number of households whose head of household exited the project to a permanent destination}}{\text{Number of households whose head of household exited the project}}
\]

**Formula Used for Calculation of Question 8**

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

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Due on March 9, 2018*

Permanent Supportive Housing
Answer questions 10-11 using the Evaluation Report, based on HMIS data.

Formula Used for Calculation of Question 10

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

Formula Used for Calculation of Question 11

\[
\frac{\text{Number of households whose head of household exited the project more than 365 days after entry and exited to a permanent destination}^1}{\text{Number of households whose head of household exited the project more than 365 days after entry}}
\]

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

Formula Used for Calculation of Question 12

\[
\frac{\text{Number of households whose head of household exited the project more than 365 days after entry and exited to a permanent destination}^1}{\text{Number of households whose head of household exited the project more than 365 days after entry}}
\]

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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 13**

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

**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**

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

* Note that the due date of March 9, 2018 may be changed to an earlier date pending HUD Application release.
Rapid Re-housing
Answer questions 17-19 using the Evaluation Report, based on HMIS data.

Formula Used for Calculation of Question 16

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

Formula Used for Calculation of Question 17

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

Formula Used for Calculation of Question 18

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

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

Due on March 9, 2018*

Formula Used for Calculation of Question 19

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

Coordinated Entry Project SSO - 1

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

Formula Used for Calculation of Question 20

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

* 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 21

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

= 

\[
\text{Number of Heads of Household entering an Emergency Shelter,}
\text{ Transitional Housing (not including TH for Youth or PHWSS),}
\text{Outreach Project, Services Only Project (with homeless status), a}
\text{Coordinated Entry Project (with homeless status) from 9/1/2017}
\text{12/31/2017}
\]

Formula Used for Calculation of Question 22

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

= 

\[
\text{Number of Heads of Household enrolled an Emergency Shelter,}
\text{ Transitional Housing (not including TH for Youth or PHWSS),}
\text{Outreach Project, Services Only Project (with homeless status), a}
\text{Coordinated Entry Project (with homeless status) from 9/1/2017}
\text{12/31/2017}
\]

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

*Due on March 9, 2018*

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### Formula Used for Calculation of Question 23

**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.**

= **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

**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**

= **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

**Number of Heads of Household with a match and subsequent Entry into a Housing System Navigation Project between 1/1/2017 and 12/31/2017 with an Entry into a Permanent Housing Project (including Youth TH and PHwSS) or Permanent Exit Destination**

= **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**

---

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

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

\[
= \frac{\text{Number of Heads of Household with Permanent Housing Project (including Youth TH and PHwSS) Entries with Housing Move-in Dates between 9/1/2017 and 12/31/2017}}{\text{Number of Heads of Household with Permanent Housing Project (including Youth TH and PHwSS) Entries with Housing Move-in Dates between 9/1/2017 and 12/31/2017}}
\]

### Formula Used for Calculation of Question 28

\[
\text{Number of matches requested via Google Forms that received a referral from the CES project within two business (regardless of the Referral Need Status)}
\]

\[
= \frac{\text{Number of matches requested via Google Forms with an opening during 9/1/2017 – 12/31/2017}}{\text{Number of matches requested via Google Forms with an opening during 9/1/2017 – 12/31/2017}}
\]

**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.

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

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

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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.

* Note that the due date of March 9, 2018 may be changed to an earlier date pending HUD Application release.
Appendices
The following items are referenced throughout the Evaluation Instrument and will be used to answer the questions indicated.

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

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: 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

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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.


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

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

* Note that the due date of March 9, 2018 may be changed to an earlier date pending HUD Application release.
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 one 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 not be available to respond to questions outside of these hours. Additionally, please allow up to 48 hours for a response, as we do experience a significant increase in communication during this time. Please plan accordingly.

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

The FY18 Chicago CoC Ranking Policies & Final Project Ranking Listing is now available. This document includes a description of the criteria used to rank projects in the FY18 HUD Continuum of Care (COC) Program Competition. Additionally, the local evaluation instrument, instructions, and scoring criteria are available on the All Chicago website. For FY18, the average of the 2017 and 2018 local evaluation scores were used to determine the ranking of renewal projects within the overall ranking.

For the FY18 HUD CoC Program Competition, CoCs were required to rank projects into two tiers (Tier 1 or Tier 2). Tier 1 is required to be equal to 94% of the CoC’s annual renewal demand (ARD) and Tier 2 is set at the remaining ARD (6%), plus bonus project funds available. For the Chicago CoC, the Tier 1 amount is $63,030,798 and Tier 2 will be $4,023,242. Even though HUD anticipates that available funding will be sufficient to fund all eligible renewal projects, Tier 2 projects are still at risk of being defunded. For the Chicago CoC, Tier 2 is expected to start with project 151, which straddles the bottom of Tier 1 and top of Tier 2.

All HUD CoC-funded projects eligible for renewal in FY18 that met Chicago CoC threshold requirements and selected new projects are included on the CoC Funding Priority Listing. Please note: three projects were rejected and not ranked in eSNAPS. The projects were rejected because the CoC Board of Directors' Appeals Panel confirmed their support of involuntary reallocation for these projects. More information on the FY18 HUD CoC Program Competition, local evaluation process, and ranking requirements is available on the All Chicago website.

The final HUD-approved FY2018 Grants Inventory Worksheet (GIW) is also available on the All Chicago website under the FY2018 HUD CoC Program Competition.

All Chicago would like to thank the Project Prioritization Workgroup, the Chicago CoC Board of Directors, and all CoC funded partners for all of their work throughout this portion of the FY 2018 CoC Program Competition. All Chicago, the City of Chicago’s Department of Family and Support Services (DFSS), and various other CoC community members are finalizing the CoC Application and plan to submit the Application and Priority Listing to HUD at least one day before the September 18th CoC NOFA competition deadline. The final application will be posted on the All Chicago website, and the community will be notified.

Please contact us at cocprograms@allchicago.org with any questions.

Sincerely,
Karen Kowal
Director of CoC Programs
community partnerships, data analytics, and skills training.

Learn more at allchicago.org

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9/12/2018

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# All Chicago

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<td>25) State the anticipated start date (Month and Year) of your Project. Note: Project awarded funding will not receive grant agreements until 2019.</td>
<td>Award 1 point for a 2019 start date</td>
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<td>20) State the anticipated start date (Month and Year) of your Project. Note: Project awarded funding will not receive grant agreements until 2019.</td>
<td>Award 1 point for a 2019 start date</td>
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<td>21) Does your project involve acquisition, construction, and/or rehab*?</td>
<td>NONE</td>
<td>N/A</td>
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*Acquisition, rehab, and/or construction are not always allowable costs in the HUD CoC NOFA. Agencies may be requested to adjust their budget and/or grant amount based on the FY2018 NOFA Guidance.
# 2018 NEW PROJECT APPLICATION - READINESS TO PROCEED

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</table>
| A. Please address the following questions in a single narrative: (Maximum 3,000 Characters) | 1. What is the location of the proposed site?  
2. What is the timeline you are projecting for your project, including the dates for:  
   a. funding applications and expected announcement dates (for pending applications),  
   b. when funding was secured (for secured funding sources),  
   c. construction/rehab beginning and completion,  
   d. lease-up beginning, and  
   e. achieving full occupancy.  
3. How will you deal with project delays that are inevitable in the housing development process to ensure the population would be housed within the timeframe outlined by HUD?  
4. Do you have site control? If not, have you identified a site and when will you have site control?  
5. Please provide a narrative for your development and operating budget | Award 1 point if narrative appears reasonable and feasible | 1           |          |                   |
## QUESTION NOTES FOR EVALUATORS

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<th>QUESTION</th>
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<th>MAX POINTS S = 4</th>
<th>MY SCORE</th>
<th>Reviewer Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>22) Please describe your proposed project configuration (number of</td>
<td>Award point if sufficient and specific configuration information is provided</td>
<td>1</td>
<td></td>
<td></td>
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<tr>
<td>bedrooms, size of bedrooms, etc.). (Maximum 1,000 Characters)</td>
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<tr>
<td>23) Does your project involve scattered site housing?</td>
<td>Award 1 point if response is yes</td>
<td>N/A</td>
<td>N/A</td>
<td></td>
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<tr>
<td>If Yes, please address the following questions in a single narrative:</td>
<td>Award 1 point if narrative appears reasonable and feasible</td>
<td>1</td>
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<tr>
<td>(Maximum 2,000 Characters)</td>
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<tr>
<td>1. How will the housing be identified? How will your agency ensure that</td>
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<tr>
<td>HUD Housing Quality Standards are met?</td>
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<tr>
<td>2. What experience does your agency have in identifying available</td>
<td></td>
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<tr>
<td>units?</td>
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<td>3. What experience does your agency have in working with landlords?</td>
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<td></td>
<td></td>
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<tr>
<td>4. If your project proposes scattered site units in more than one</td>
<td></td>
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<tr>
<td>geographic location of the city, please demonstrate how your agency</td>
<td></td>
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<tr>
<td>maintains familiarity with all different geographic areas proposed,</td>
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<tr>
<td>including service linkages in those areas. Please also describe how</td>
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<td>your agency deals with some of the inefficiencies serving city-wide</td>
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<td>might pose (i.e. case managers driving from one side of the city to</td>
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<tr>
<td>the other for home visits)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>QUESTION</td>
<td>NOTES FOR EVALUATORS</td>
<td>MAX POINTS $S = 4$</td>
<td>MY SCORE</td>
<td>Reviewer Comments</td>
</tr>
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<td>----------</td>
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<tr>
<td>POINT TOTAL</td>
<td></td>
<td>4</td>
<td>0</td>
<td></td>
</tr>
<tr>
<td>QUESTION</td>
<td>NOTES FOR EVALUATORS</td>
<td>MAX POINTS = 1</td>
<td>MY SCORE</td>
<td>Reviewer Comments</td>
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<td>----------</td>
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</tr>
<tr>
<td>25) State the anticipated start date (Month and Year) of your Project. Note: Project awarded funding will not receive grant agreements until 2019.</td>
<td>Award 1 point for a 2019 start date</td>
<td>1</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**POINT TOTAL**

| POINT TOTAL | 1 | 0 |
### 2018 NEW PROJECT APPLICATION - READINESS TO PROCEED

<table>
<thead>
<tr>
<th>QUESTION</th>
<th>NOTES FOR EVALUATORS</th>
<th>MAX POINTS S = 4</th>
<th>MY SCORE</th>
<th>Reviewer Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>20) State the anticipated start date (Month and Year) of your Project.</td>
<td>Note: Project awarded funding will not receive grant agreements until 2019.</td>
<td></td>
<td></td>
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<tr>
<td>Note: Project awarded funding will not receive grant agreements until 2019.</td>
<td>Award 1 point for a 2019 start date</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>21) Does your project involve acquisition, construction, and/or rehab*?</td>
<td>*Acquisition, rehab, and/or construction are not always allowable costs in the HUD CoC</td>
<td></td>
<td></td>
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</tr>
<tr>
<td>NOFA. Agencies may be requested to adjust their budget and/or grant amount based on the FY2018 NOFA Guidance</td>
<td>NONE</td>
<td></td>
<td>N/A</td>
<td>N/A</td>
</tr>
<tr>
<td>QUESTION</td>
<td>NOTES FOR EVALUATORS</td>
<td>MAX POINTS S = 4</td>
<td>MY SCORE</td>
<td>Reviewer Comments</td>
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<tr>
<td>--------------------------------------------------------------------------</td>
<td>---------------------------------------------------------------------------------------</td>
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</tr>
<tr>
<td>A. Please address the following questions in a single narrative: (Maximum 3,000 Characters)</td>
<td>1. What is the location of the proposed site?</td>
<td></td>
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<td></td>
<td>2. What is the timeline you are projecting for your project, including the dates for:</td>
<td></td>
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<tr>
<td></td>
<td>a. funding applications and expected announcement dates (for pending applications),</td>
<td></td>
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<tr>
<td></td>
<td>b. when funding was secured (for secured funding sources),</td>
<td></td>
<td></td>
<td></td>
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<td></td>
<td>c. construction/rehab beginning and completion,</td>
<td></td>
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<tr>
<td></td>
<td>d. lease-up beginning, and</td>
<td></td>
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<tr>
<td></td>
<td>e. achieving full occupancy.</td>
<td></td>
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<tr>
<td></td>
<td>3. How will you deal with project delays that are inevitable in the housing</td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>development process to ensure</td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>the population would be housed within the timeframe outlined by HUD?</td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>4. Do you have site control? If not, have you identified a site and when will you</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>have site control?</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>5. Please provide a narrative for your development and operating budget</td>
<td></td>
<td></td>
<td></td>
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<tr>
<td></td>
<td>Award 1 point if narrative appears reasonable and feasible</td>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>QUESTION</td>
<td>NOTES FOR EVALUATORS</td>
<td>MAX POINTS</td>
<td>MY SCORE</td>
<td>Reviewer Comments</td>
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</tr>
<tr>
<td>22) Please describe your proposed project configuration (number of bedrooms, size of bedrooms, etc.). (Maximum 1,000 Characters)</td>
<td>Award point if sufficient and specific configuration information is provided</td>
<td>1</td>
<td></td>
<td></td>
</tr>
<tr>
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<td>Award 1 point if response is yes</td>
<td>N/A</td>
<td>N/A</td>
<td></td>
</tr>
<tr>
<td>If Yes, please address the following questions in a single narrative: (Maximum 2,000 Characters)</td>
<td>1. How will the housing be identified? How will your agency ensure that HUD Housing Quality Standards are met? 2. What experience does your agency have in identifying available units? 3. What experience does your agency have in working with landlords? 4. If your project proposes scattered site units in more than one geographic location of the city, please demonstrate how your agency maintains familiarity with all different geographic areas proposed, including service linkages in those areas. Please also describe how your agency deals with some of the inefficiencies serving city-wide might pose (i.e. case managers driving from one side of the city to the other for home visits)</td>
<td>Award 1 point if narrative appears reasonable and feasible</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>QUESTION</td>
<td>NOTES FOR EVALUATORS</td>
<td>MAX POINTS = 4</td>
<td>MY SCORE</td>
<td>Reviewer Comments</td>
</tr>
<tr>
<td>---------------</td>
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<td>----------------</td>
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<td>-------------------</td>
</tr>
<tr>
<td>POINT TOTAL</td>
<td></td>
<td>4</td>
<td>0</td>
<td></td>
</tr>
</tbody>
</table>
2018 CoC Competition
Evaluation Instrument

For all HUD CoC-funded projects in the Chicago Continuum of Care
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* Note that the due date of March 9, 2018 may be changed to an earlier date pending HUD Application release.
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.

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

**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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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.

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

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.
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.

* Note that the due date of March 9, 2018 may be changed to an earlier date pending HUD Application release.
<table>
<thead>
<tr>
<th><strong>2018 Evaluation Instrument Instruction Manual</strong>&lt;br&gt;<em>Due on March 9, 2018</em></th>
</tr>
</thead>
</table>
| • 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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Due on March 9, 2018*

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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Due on March 9, 2018*

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. **You will only need to do this once.** 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 Explorer 11**. 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."

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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

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Due on March 9, 2018*

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

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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.

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

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.

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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](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](http://www.allchicago.org)
- Frequently Asked Questions Document: [Google Docs](#)
- HMIS Helpdesk: [https://hmis.allchicago.org](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
entity. Select “N/A-Government Entity” if the contract is held by a government body that does not have a Board. \textit{Note:} this question is not asking about whether your agency \textit{presently} has a member on the board who is currently or formerly homeless, but rather is asking whether the agency \textit{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.

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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

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

*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.*

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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.

**Staff Policies and Procedures (Questions 10-11)**

**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

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• 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.

Homeless Management Information System (HMIS) Policies and Procedures (Questions 12-14)

**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.

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**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:

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• **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

* Note that the due date of March 9, 2018 may be changed to an earlier date pending HUD Application release.
steps to resolve the issue; AND how the agency will post/distribute/provide this response to participants. If any one of these narratives is missing or insufficient, zero points will be awarded. Agencies cannot receive partial points for this question.

Agencies should use a recent example and should not 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.

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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.

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

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.

Evaluation Instrument Certification

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

☐ By checking this box and entering the Authorized Representative name in the space below, I certify (1) that I have reviewed the responses in this evaluation instrument for completeness and accuracy and (2) that the information throughout the application is true, complete, and accurate to the best of my knowledge and (3) all supporting documentation and attachment will be made available during site visits conducted by Chicago Alliance staff.

Authorized Representative Signature (type name and title): *

Characters used: 0 out of 400

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.

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**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 or most recent HUD grant number for this project. If you are unsure, please use the grant number indicated on the FY17 GIW.
  - For consolidated projects, please use 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.

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

Due on March 9, 2018*

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.**

<table>
<thead>
<tr>
<th>Formula Used for Calculation</th>
</tr>
</thead>
</table>
| \[
\text{Total Persons with a current Entry} \\
\quad \text{at each Point in Time (January, April, July, October)} \\
\quad = \frac{\text{Total Beds Available at Full Capacity}}{\text{Average for full 2017 year}} \\
\text{Total number of beds} \times 365
\]

To meet threshold, projects must be at or above 80% for **average bed utilization rate** AND at each of the **4 point-in-time bed utilization 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, as indicated in the project’s HUD contract, 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 in PDF format 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.

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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

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• 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.

**Grant Management (Questions 1-3)**

**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.

**Housing Quality and Standards (Questions 4-5)**

**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.

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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.

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**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).

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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.

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**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.

Due on March 9, 2018*

**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**

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

**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

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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.

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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

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

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.

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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

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

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

* Due on March 9, 2018*

---

**Formula Used for Calculation of Question 3**

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

---

**Formula Used for Calculation of Question 4**

\[
\frac{\text{Number of households whose head of household exited the project to a permanent destination within 120 of entering the project}}{\text{Number of households whose head of household exited the project}}
\]

---

**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**

\[
\frac{\text{Number of households whose head of household exited the project to a permanent destination within 731 of entering the project}}{\text{Number of households whose head of household exited the project}}
\]

---

* Note that the due date of March 9, 2018 may be changed to an earlier date pending HUD Application release.
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 6**

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

**Formula Used for Calculation of Question 7**

\[
\frac{\text{Number of households whose head of household exited the project to a permanent destination}}{\text{Number of households whose head of household exited the project}}
\]

**Formula Used for Calculation of Question 8**

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

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

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

Formula Used for Calculation of Question 10

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

Safe Haven

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

Formula Used for Calculation of Question 12

\[
\text{Number of households whose head of household exited the project more than 365 days after entry and exited to a permanent destination}^1 \\
= \frac{\text{Number of households whose head of household exited the project more than 365 days after entry}}{\text{Number of households whose head of household exited the project more than 365 days after entry and exited to a permanent destination}^1}
\]
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 13

\[
\frac{\text{Number of households whose head of household has either been enrolled for at least 365 days or exited the project}}{\text{Number of households whose head of household has either been enrolled for at least 365 days or exited the project}}
\]

Formula Used for Calculation of Question 14

\[
\frac{\text{Number of households whose head of household has a date of engagement entered and has exited the project}}{\text{Number of households whose head of household has a date of engagement entered and has exited the project}}
\]

Formula Used for Calculation of Question 15

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

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

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

---

**Formula Used for Calculation of Question 16**

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

---

**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**

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

---

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

Formula Used for Calculation of Question 19

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

Coordinated Entry Project SSO - 1
Answer questions 20-23 using the Evaluation Report, based on HMIS data.

Formula Used for Calculation of Question 20

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

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

Due on March 9, 2018*

Formula Used for Calculation of Question 21

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), or Coordinated Entry Project (with homeless status) between 9/1/2017 and 12/31/2017 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

= 

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), or Coordinated Entry Project (with homeless status) from 9/1/2017 - 12/31/2017

Formula Used for Calculation of Question 22

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

= 

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

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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 23

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

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

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

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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.

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.

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

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

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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.

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.**

* Note that the due date of March 9, 2018 may be changed to an earlier date pending HUD Application release.
Appendices
The following items are referenced throughout the Evaluation Instrument and will be used to answer the questions indicated.

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

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 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

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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.


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

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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

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

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 one 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 not be available to respond to questions outside of these hours. Additionally, please allow up to 48 hours for a response, as we do experience a significant increase in communication during this time. Please plan accordingly.

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Background
The Project Prioritization Workgroup (PPWG) is made up of members representing service providers, people with lived experience, and key stakeholders representing government, philanthropy, research and community members. The members included:

The 2018 PPWG members are:
Renita White – service provider                   Chris O’Hara – lived experience
Lore Baker – IDHS                              Fred Friedman – lived experience
Jenny Hansen – United Way                     Ruth Coffman – Urban Labs
Rachel Reichlin – Michael Reese Health Trust   Khen Nickle – community at-large
Jill Wohl – service provider                   Sharon Cargile – lived experience
Alexis Canalos – service provider

The 2018 Project Prioritization Workgroup (PPWG) was formed to:
1) Develop and implement a process to select projects for FY 2018 HUD CoC-program funding through “bonus project” funds and reallocation funds;
2) Based on its selections, make recommendations to the Chicago CoC Board of Directors, and;
3) Formulate and recommend project ranking policies to the CoC Board of Directors

In addition to the members, the PPWG was led and supported by All Chicago (Collaborative Applicant) staff:
Dave Thomas, VP of Community Partnerships
Karen Kowal, Director of CoC Programs
Gayle Keller, CoC Program Coordinator

PPWG Meeting Dates: May 9, May 24, June 4, June 18, July 13, July 20, July 30 and August 6. In addition, All Chicago hosted and recorded a Project Ranking Webinar for PPWG members on August 1.

HUD Priorities & NOFA Scoring
The response to HUD’s FY 2018 Notice of Funding Availability (NOFA) is due by September 18, 2018. Project Applications were required to be submitted to the Chicago CoC by August 17, which is 30 days before the NOFA deadline.

The focus of HUD’s Homeless Policy and Program Priorities for this NOFA are:
• Ending homelessness for all persons
• Creating a systemic response to homelessness
FY2018 Chicago Continuum of Care (CoC) Ranking Policies and Final Ranking Listing

- Strategically allocating and using resources
- Using a Housing First Approach

NOFA Scoring Guidelines:
- Sections of the CoC Application will be scored up to 200 points for:
  - CoC Coordination & Engagement – 48 pts.
  - Project Capacity, Review and Ranking – 29 pts.
  - HMIS – 13 pts.
  - PIT – 6 pts.
  - System Performance – 56 pts.
  - Performance & Strategic Planning – 48 pts.
  - CoC Merger Bonus Points - 25
- For New Project & Renewal Applications, up to 100 points will be rewarded for:
  - CoC Score (application) – 50 pts.
  - CoC Project Ranking – 40 pts.
  - Housing First – 10 pts.
- All projects, except the CoC planning application, must be ranked in Tier 1 or Tier 2.
- Tier 1 is equal to 94% of the Annual Renewal Demand (ARD), and Tier 2 is equal to the remaining 6% plus any amount available for bonus projects, including domestic violence bonus project funding.
- HUD will allow a project to straddle Tier 1 and Tier 2.

PPWG Ranking Policy for the FY 2018 Priority Listing

The PPWG reviewed the HUD ranking guidance, past ranking policies, system priorities and various other factors and recommended the following ranking policy for the HUD CoC Funded projects for the FY2018 NOFA. The CoC Board of Directors reviewed and approved the policy on August 15, 2018.

<table>
<thead>
<tr>
<th>Tier 1</th>
<th>1. Renewal Coordinated Entry SSO projects.</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>2. Renewal HMIS projects.</td>
</tr>
<tr>
<td></td>
<td>3. New Coordinated Entry SSO projects from bonus project funding.</td>
</tr>
<tr>
<td></td>
<td>5. Projects funded through reallocation.</td>
</tr>
<tr>
<td>Straddle</td>
<td>6. Project funded through reallocation.</td>
</tr>
<tr>
<td>Tier 2</td>
<td>7. Remaining 33% of bonus project funding allocation, (i.e. 33% of bonus funding minus the bonus dollars allocated to New Coordinated Entry SSOs in Tier 1) and using new project evaluation scores.</td>
</tr>
</tbody>
</table>
10. Remaining bonus allocation based on new project evaluation scores.
11. Domestic Violence Coordinated Entry SSO bonus project.

**Considerations and Rationale**

The PPWG met eight times between May and August 2018. Members underwent orientation on the Department of Housing and Urban Development’s (HUD’s) NOFA process, CoC-funded programs, and became familiar with the local evaluation instrument, application and appeals processes to receive HUD CoC funding.

The PPWG developed the ranking policy above with strong consideration for the local evaluation instrument scores, HUD guidance and priorities, Chicago’s Plan 2.0 to End Homelessness, and Chicago’s System Goals.

- **Coordinated Assessment SSO and HMIS:**
  The PPWG determined that the Coordinated Entry-SSO and HMIS grants provide necessary resources to improve the capacity of the Chicago CoC to effect system change, improving the efficacy of projects across the city and supporting the realization of Plan 2.0. The PPWG recommended placing these projects at the top of Tier 1. This includes three renewal Coordinated Entry SSO projects, HMIS project, and two new Coordinated Entry-SSO projects.

- **Renewal Project Ranking:**
  Because the local evaluation tool already accounts for considerations related to program model, the PPWG did not separately rank renewal projects according to their program model type. The PPWG ranked projects using the total evaluation instrument score, averaging the last two years (2017 and 2018). Allocation to Tier 1 or Tier 2 was determined based on these rankings, bounded by the amounts allowed by HUD in each tier.

- **Reallocation:**
  **Voluntary Reallocation**
  The 2018 local evaluation instrument released in February 2018 included a question which allowed HUD-funded service providers an opportunity to voluntarily reallocate a percentage of their grant(s) back to the Continuum of Care instead of returning unspent funds to HUD. The voluntary reallocation amount was based on the average amount of funds that were returned to HUD over the past three years. Organizations had the opportunity to permanently reallocate the entire average or at least 80% of the average amount. Four organizations (7 programs) agreed to reallocate grant funds. The total reallocation amount is $380,429.
Involuntary Reallocation

In 2018, All Chicago recommended to the community that three CoC funded projects be involuntarily reallocated. The recommendation was based on the organization’s HUD audit findings still open more than a year later, incongruency between Housing First policies and practices, and lack of consistent utilization of the Coordinated Entry System to fill its units. The Chicago CoC Board of Directors’ Appeal Panel confirmed support of the involuntary reallocation. In total, the three grants’ reallocation total is: $1,585,057.

The PPWG recommended that four projects funded through reallocation processes be placed in Tier 1 reflecting the Continuum’s commitment to prioritizing higher performing projects. One of the projects will be the “straddle” project between Tier 1 and Tier 2,

- **Bonus Projects, Including Bonus Projects for Survivors of Domestic Violence:**

The Chicago CoC bonus project funding availability is $4,023,242 based on 6% of the CoC’s ARD. Additionally, the Chicago CoC has up to $5,000,000 for domestic violence bonus project funding availability.

The PPWG recommended that the two new Coordinated Entry-SSO projects in Tier 1 be funded through bonus project funding. In addition, the remaining bonus project funding goes towards bonus projects for nine types of programs – all eligible program types. The PPWG recommended two housing-specific DV projects and one DV Coordinated Entry-SSO project be funded with the DV bonus project funding.

The PPWG recommended Tier 2 be structured to include 33% of remaining bonus projects (non-DV) ranked by new project evaluation scores at the top of Tier 2 immediately after the straddle project followed by the remaining renewal projects ranked by local Evaluation Instrument average combined scores from 2017 and 2018. The PPWG recognized the priority of having new DV housing bonus projects be ranked immediately after the remaining renewal projects with the remaining bonus projects (non-DV), ranked by new project evaluation scores, be ranked next but before the DV Coordinated Entry-SSO project at the bottom of Tier 2.
## FY2018 CoC HUD NOFA Program Competition Final Ranking Listing

<table>
<thead>
<tr>
<th>Rank No.</th>
<th>Agency Name</th>
<th>HUD Project Name</th>
<th>FY2017 Grant Number</th>
<th>HUD Type</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Corporation for Supportive Housing</td>
<td>Chicago Coordinated Entry System</td>
<td>IL0626L5T101702</td>
<td>SSO</td>
</tr>
<tr>
<td>2</td>
<td>Corporation for Supportive Housing</td>
<td>Chicago Coordinated Entry System 2.0</td>
<td>IL0667L5T101701</td>
<td>SSO</td>
</tr>
<tr>
<td>3</td>
<td>All Chicago Making Homelessness History</td>
<td>HMIS Expansion</td>
<td>IL0132L5T101710</td>
<td>HMIS</td>
</tr>
<tr>
<td>4</td>
<td>Corporation for Supportive Housing</td>
<td>Housing Navigation</td>
<td>New - Bonus Funds</td>
<td>SSO</td>
</tr>
<tr>
<td>5</td>
<td>North Side Housing and Supportive Services</td>
<td>Housing System Navigation</td>
<td>New - Bonus Funds</td>
<td>SSO</td>
</tr>
<tr>
<td>6</td>
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## FY2018 Chicago Continuum of Care (CoC)
### Ranking Policies and Final Ranking Listing

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### FY2018 Chicago Continuum of Care (CoC)
#### Ranking Policies and Final Ranking Listing

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**Note: All Chicago will update ranking list to include Consolidated Applications rank number. All Chicago is currently seeking clarification from HUD regarding ranking number for consolidated applications. A consolidated application will replace ranking number of one of the current individual renewal project application listed in the ranking order above.**

**All project applications listed above have been accepted in e-snaps for the FY2018 HUD CoC Program NOFA Competition with exception of the “Rejected” applications listed above.**
Dear HUD CoC Funding Recipients,

HUD released the Notice of Funding Availability (NOFA) for the Fiscal Year (FY) 2018 Continuum of Care Program Competition this morning. Download the full NOFA here. We strongly encourage everyone to read the document in its entirety.

All Chicago will review the NOFA and release a document with highlights early next week. We will also send additional information soon regarding trainings and due dates for Project Applications. As with previous years, agencies are required to complete a Project Application for each of their HUD CoC-funded projects before the full CoC application is due to HUD.

For more information regarding the HUD CoC Program Competition, please visit the FY 2018 CoC Program Funding Process page on the HUD Exchange website. This page includes important information, responses to FAQs, and links to the project application instruction guides, when available. If you have questions after reviewing these resources, please contact Karen Kowal at kkowal@allchicago.org or Elizabeth Perez at eperez@allchicago.org.

If the contact information for any of your HUD CoC-funded projects has changed, please let us know as soon as possible to ensure the appropriate people receive communication regarding the FY18 HUD CoC Program Competition.

Sincerely,
Karen Kowal
Director of CoC Programs
# All Chicago
Email Statistics
9/13/2018

**Email Name:** NOFA Release 2018  
**Template:** - Basic - Single Column  
**Lists:** Staff FY18 HUD CoC Contacts

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**Total Click-throughs** 70 100%

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Print Report
Hello Mr. Rubenstein,

The attached document contains important information regarding the status of the three (3) HUD CoC renewal project applications for the FY 2018 HUD CoC Notice of Funding Availability (NOFA) Program Competition submitted by your agency, Single Room Housing Assistance Corporation. Please review and contact me if there are additional questions.

Thank you,

Dave Thomas | Vice President of Community Partnerships
Pronouns: He/Him/His

All Chicago
651 W. Washington, Suite 504 Chicago, IL 60661
Office: 312 379-0301 ext. 12
DThomas@allchicago.org
www.allchicago.org
Re: FY2018 HUD CoC Notice of Funding Availability (NOFA) Program Competition – Rejected Renewal Applications

Dear Eric Rubenstein,

At their August 15, 2018 Board of Directors meeting, the Chicago Continuum of Care Board affirmed the involuntary reallocation of Single Room Housing Assistance Corporation’s three (3) HUD CoC renewal projects:

1. Single Room Housing Assistance Corporation - IL-510 - REN - SHP-PH Expansion (IL01B710038)
2. Single Room Housing Assistance Corporation - IL-510 - REN - Supportive Housing Program (SHP)(IL01B710038)
3. Single Room Housing Assistance Corporation - IL-510 - REN - Supportive Housing Program (SHP)(IL01B70042)

This recommendation is based upon SRHAC’s noncompliance with grant requirements outlined in the Continuum of Care Interim Rule (24 CFR Part 578), misinformation on the 2018 Local Evaluation Instrument, and unresolved open HUD audit findings.

Based on the CoC’s affirmation, all 3 renewal project applications submitted via e-snaps have been rejected. You may click here for further information regarding the FY2018 Ranking Policies and Final Ranking Listing and/or please visit the All Chicago website.

SRHAC may appeal the CoC’s decision directly to HUD following the appeals process outlined in the FY 2018 HUD CoC Program Competition NOFA.

If you have additional questions, feel free to contact me at dthomas@allchicago.org

Sincerely,

Dave Thomas
All Chicago
Vice President of Community Partnerships
CHICAGO CONTINUUM OF CARE
AND
ALL CHICAGO

MEMORANDUM OF UNDERSTANDING

Preamble
The Chicago Continuum of Care (the "Chicago CoC") is a membership-based organization comprised of a variety of stakeholders from service providers, government entities, research institutions, etc., who are committed to preventing and ending homelessness through the design and implementation of plans, which are consistent with local, state, and federal policies. In the spirit of collaboration, the Chicago CoC and All Chicago, the Chicago CoC's designated Homeless Management Information System Lead organization (the "HMIS Lead"), have agreed to enter into this Memorandum of Understanding ("MOU") to document each party's duties and responsibilities with regard to the Homeless Management Information System ("HMIS") and to ensure that the same are successfully executed.

The Chicago CoC and the HMIS Lead (collectively, "the parties") will work together to ensure that the Chicago CoC achieves and maintains a state-of-the-art HMIS system that is compliant with the U.S. Department of Housing and Urban Development ("HUD") requirements. Further, the HMIS Lead will provide informed technical information and research associated with Plan 2.0, and the support mutually agreed by the parties as required for the various committees, workgroups, and like bodies defined in the Chicago CoC Governance Charter.

The parties commit to timely responses, open communication, and collaborative work strategies, in the completion of tasks necessary to ensure efficient and effective operations of the Chicago CoC and the HMIS Lead.

A. Purpose
This MOU governs the duties, assignments and responsibilities of the HMIS Lead and the Chicago CoC and through its designated HMIS Committee who are outlined in the Chicago CoC Charter and Section D of this MOU.

B. Background
The HMIS is a computerized data collection application designed to capture information about homeless people and homeless programs over time. HMIS is mandated HUD under the Hearth Act for all communities and agencies receiving HUD Continuum of Care and Emergency Solutions Grants homeless assistance funds. Other Federal Partners, such as the U.S. Department of Health and Human Services ("HHS") and the U.S. Department of Veteran Affairs ("VA") also mandate use of HMIS for some of their programs. HMIS is essential to streamline client services and inform public policy. Through HMIS, homeless people benefit from improved coordination within and between agencies, informed advocacy efforts, and policies that result in targeted services. Analysis of information gathered through HMIS is critical to the preparation of a periodic accounting of homelessness in Chicago, which may include measuring the extent and nature of homelessness, the utilization of services
and homeless programs over time, and the effectiveness of homeless programs. Such an unduplicated accounting of homelessness is necessary to service and systems planning, effective resource allocation, and advocacy.

C. Term of Agreement and Termination
   a. This MOU shall commence from date of execution, as designated by the last date of signature of the parties, and shall continue for three (3) years unless this MOU is terminated sooner by written agreement of both parties or as permitted under this MOU.

   b. Either party may terminate for convenience its participation in this MOU for any reason by giving the other party ninety (90) days prior written notice.

   c. Either party may terminate this MOU upon written notice to the other party if the other Party materially breaches any term or condition of this MOU and fails to cure such breach within thirty (30) days from the terminating party’s provision of written notice.

   d. All amendments, additions, deletions, or modifications to this MOU must be mutually agreed upon in writing by the parties.

   e. On or prior to October 31, 2018, the Chicago CoC must provide written notice to the HMIS Lead if it elects to either (i) extend the term of this MOU for twelve (12) months from the date of expiration, or (ii) conduct a competitive process to determine the next agency partner. If the Chicago CoC fails to provide such written notice, then the term of this MOU shall be automatically extended for an additional three (3) year period following the expiration date.

D. General Understandings
   a. Governance
      The Chicago CoC is governed by a Board of Directors (“BoD”), which will provide oversight and accountability for all Chicago CoC responsibilities. As outlined in the Chicago CoC Governance Charter, the BoD has 4 committees that serve as the implementation and planning bodies of the system. The Chicago CoC responsibilities for HMIS project oversight and implementation and governance responsibilities are carried out by its Chicago HMIS Committee.

   b. HMIS Lead Agency Designation
      All Chicago has been designated as the HMIS Lead for the Chicago CoC. The HMIS Lead is responsible for ensuring that the HMIS is administered according to the regulations and notices promulgated pursuant to the HEARTH Act, and with other similar, subsequent and applicable federal, state, and local laws and ordinances. The HMIS Lead manages the HMIS operations on behalf of the Chicago CoC and provides HMIS project administration functions including staffing, budget and grant
requirements management, as well as providing additional mutually agreed services.

c. **Software Designation**
The Chicago CoC has selected a single software product, Bowman Systems' ServicePoint, to serve as the sole HMIS software application and has agreed to use the product as configured for the Chicago CoC's HMIS.

d. **HMIS Committee**
The HMIS Committee is a committee of the Chicago CoC BoD. The HMIS Committee is made up of participating agencies, lived experience, and government representatives, as approved by the Chicago CoC BoD.

The HMIS Committee ensures the HMIS scope aligns with the needs and requirements of agencies, HUD, and other stakeholder groups, and provides direction and guidance to the HMIS Lead on HMIS issues, including project participation, policies and procedures for participant privacy, data security, and data quality, and HMIS governance. Committee also hears grievances related to sanctions by the HMIS Lead Agency as outlined in the HMIS Committee Governance Charter. This Committee will also lead the annual process of reviewing the performance of the HMIS Lead and every three-year lead a process of either re-appointing the HMIS Lead or undertaking a competitive process, which determination to undertake such competitive process must be made by October 31, 2018.

e. **Funding**
Notwithstanding anything to the contrary herein, funding for the software and operations of the HMIS, including without limitation, the software product fee and any other reasonable out-of-pocket expenses incurred by the Lead in relation to this MOU, shall be the responsibility of the CoC, and provided by the CoC, through a HUD Continuum of Care Program dedicated HMIS grant, and other funding from the Chicago CoC. The HMIS Lead shall be responsible for fulfilling any HUD match requirements. Funding shall also be provided from agencies that operate programs federally required to enter data into HMIS. As reasonably determined by the HMIS Lead, the Chicago CoC recognizes that participating agencies may be required to pay user fees for the HMIS software and reporting licenses assigned to their agency. In the event there is a shortfall in funding for the software or operation of the HMIS, the HMIS Lead management shall not institute fees without first exploring options to increase revenue; provided, however, that the HMIS Lead shall have the right to make the final determination as to whether institution of fees is warranted.

f. **Compliance with Homeless Management Information System Standards**
The HMIS Lead shall operate, and shall require that Bowman Systems operate, the HMIS in compliance with HUD HMIS Data and Technical Standards and any other laws and/or regulations applicable to the operation of the HMIS. The parties anticipate that HUD will release revised HMIS Standards periodically. The parties agree to make
changes to this MOU, the Chicago CoC Governance Charter, the HMIS Policies and Procedures, and other HMIS operational documents, as necessary, to comply with the revised standards within the HUD-specified timeframe for such changes.

g. **Operational Policies and Agreements**
The HMIS operates within the framework of agreements, policies, and procedures that have been developed and approved over time by the HMIS Lead and the Chicago CoC through the HMIS Committee. These agreements, policies and procedures include but are not limited to the HMIS Standard Operating Procedures ("SOP"), Privacy and Security Policies, Partner Agency Agreements, and User Agreements. The parties agree that all operational agreements and policies and procedures shall be reviewed annually by the HMIS Lead and the HMIS Committee to achieve continued compliance with the HMIS Standards or otherwise improve HMIS operations.

h. **Data Responsibility**
Agency-level client-level information entered into HMIS (and any changes to such information) is the responsibility of the participating agency that is entering the data. However, the HMIS Lead and participating agencies are jointly responsible for ensuring that HMIS data processing capabilities, including the collection, maintenance, use, disclosure, transmission, and destruction of data, comply with the HMIS privacy, security and confidentiality policies and procedures. Except where prohibited by law, or where the participating agency is able to reasonably demonstrate a pressing need to the HMIS Lead and the HMIS Committee for complete control over its own data, the HMIS Lead has the final authority to approve or disapprove the use of the data that is contained in the HMIS.

E. **Responsibilities of the Chicago CoC**
The Chicago CoC, through the HMIS Committee, serves as the HMIS governance body, providing oversight, policy setting, and guidance for the HMIS project. It is the responsibility of the Chicago CoC to:

a. Designate the HMIS Lead, the software to be used for HMIS, and approve any changes to the HMIS Lead or software.

b. Request revision to any HMIS operational agreement, policy or procedure developed by the HMIS Lead, and approved by the HMIS Committee.

c. Conduct outreach to homeless assistance agencies not using HMIS, and encourage these agencies and other mainstream programs serving homeless people and persons at risk of homelessness to participate in HMIS.

d. Work to inform elected officials, government agencies, the nonprofit community, and the public about the role and importance of HMIS and HMIS data.

e. Promote the effective use of HMIS data, including its use to measure the extent and nature of homelessness, the utilization of services and homeless programs over time, the effectiveness of homeless programs, and inform program and system design.
f. Cause participating agencies to provide all local information as necessary for compilation of the Continuum of Care Housing Inventory Count, and support the HMIS Lead in preparing the Annual Homeless Assessment Report ("AHAR").

g. The Chicago CoC will work very closely with the HMIS Lead to monitor the System Performance Measures quarterly through a Data Dashboard

F. Responsibilities of the HMIS Lead

The HMIS Lead presently serves as the lead agency for the HMIS project, managing and administering all HMIS operations and activities. The HMIS Lead exercises these responsibilities based on the policies set by the Chicago CoC, through its HMIS Committee. These responsibilities are contingent on and dependent on receipt of the appropriate funding from the Chicago CoC and/or participating agencies. The responsibilities of the HMIS Lead Agency include the following items.

a. Project Management:
   - Obtaining and maintaining the contract with Bowman Systems.
   - Overseeing the operation of the HMIS, to ensure that implementation is in compliance with HUD requirements.
   - Developing and recommending periodically necessary revisions to, and implementing the privacy plan, security plan, and data quality plan which the HMIS Committee is charged with approving.
   - Overseeing the participation by recipients and sub-recipients and other participating agencies in the HMIS.
   - Developing, recommending, and providing periodic revisions when necessary to the HMIS System Operating Procedures.
   - Overseeing compliance of the Chicago HMIS System Operating Procedures adopted by the HMIS Committee on behalf of the Chicago CoC Bd.
   - Executing and overseeing compliance of written HMIS Participation Agreements with each participating agency, in accordance with HUD requirements.
   - Attending HMIS Committee meetings.
   - Providing and maintaining the HMIS page on the Chicago CoC website, if possible.
   - Serving as the applicant to HUD for grant funds to be used for HMIS activities for the Continuum-wide HMIS and, if selected for an award by HUD, entering into a grant agreement with HUD to carry out the HUD-approved activities.
   - Offering oversight of the contractual relationship with Bowman Systems.
   - Working with the HMIS Committee to ensure the adequacy of Chicago CoC funding to support the cost of the HMIS implementation, including the cost of staff and operations required by the HMIS Lead to comply with its responsibilities.

b. System Administration:
   - Understanding all aspects of the HMIS implementation, and communicating significant application issues and/or system problems to Bowman Systems.
• Making, supporting, and/or requesting from Bowman Systems any application level changes to setups and configurations, user interfaces, or system enhancements.
• Providing application, functionality, privacy protection, system security and agency-level system administration functionality.
• Supporting Agency Technical Administrators (“ATA”) in fulfilling their HUD-related roles and responsibilities within their respective agencies, including generating all HUD-required reports, adhering to data quality standards, and supporting necessary data migration.
• Communicating system availability, planned outages, and other HMIS information to ATA.
• Managing participating agencies’ and user system access based on execution of applicable agreements, training, and adherence to approved policies.
• Assigning user IDs to new users based on the approved licensing structure, authorized agency requests, and documentation of user training.
• Managing user accounts and application access control, in conjunction with the ATA.
• Submitting on behalf of the Chicago CoC, the Annual Homeless Assessment Report (AHAR).
• Providing technical support and application training to users; except that the HMIS Lead may delegate responsibility for application training to an ATA at the various partnering agencies, or to other appropriately qualified agency staff, upon demonstration that said staff are sufficiently skilled and knowledgeable about how to effectively deliver such training(s).
• Monitoring compliance with the provisions of the privacy, data security, and data quality plans, including periodic site visits to assess agency and staff adherence to data security policies and procedures.
• Developing a reasonable number of reports for use by users to enable them to meet funding requirements, to support their efforts to maintain data quality, to support performance measurement, and to support participation in a Chicago CoC-wide coordinated intake and assessment system, when such system is implemented.
• Administering other system functions, as needed and appropriate.
• The HMIS Lead will determine the type of access under which persons employed by or contracting with the HMIS Lead may have access to client-level data as a part of their system administration responsibilities. HMIS Lead shall likewise determine the roles with Bowman System’s employees and subcontractors are bound to have access to.

c. Grant Administration
• Work with the Collaborative Applicant (“CA”) to respond to the annual NOFA application for HMIS funding. The Lead Agency will also apply for renewal funds each year, and administer the HUD HMIS grant(s).
• Ensure accurate and timely draw down of HUD grant funding and submission of Annual Performance Reports ("APR").

d. **Data Quality**
• Require that all client and homeless program data are collected in adherence to the HUD HMIS Data Standards. These include the Project Descriptor Data Elements, the Universal Data Elements, and the Program-specific Data Elements.
• Establish HMIS data quality benchmarks with direction from the HMIS Committee.
• Monitor data quality per the Data Quality Plan ("DQP") every quarter.
• Provide specific data quality training. Periodically make necessary revisions to the DQP.
• Report aggregate data as needed for any unduplicated accounting of homelessness.
• Assist partner agencies with agency-specific data collection and reporting needs, such as the APR and program reports (all within reason and within constraints of the HMIS Lead's budget and other duties).

G. **Use of Aggregated Data**
Notwithstanding any termination of this MOU, the parties agree that the Lead shall have the non-exclusive, worldwide, perpetual right to use reports, analysis, writings, materials, including any aggregated data embedded therein, that the Lead created or developed, solely or jointly with others, in connection with this MOU, for internal purposes in furtherance of its non-profit mission.

H. **General Provisions**
a. **Amendments.** Either party may request changes to this MOU. Any changes, modifications revisions or amendments to this MOU which are mutually agreed upon by and between the parties to this MOU shall be incorporated by written instrument, and effective when executed and signed by all parties to this MOU.

b. **Entirety of Agreement.** This MOU, including any referenced documents or exhibits, constitute the entire agreement of the parties with respect to the matters contained herein. No modification of or amendment to this MOU shall be effective unless such modification or amendment is in writing and signed by both parties hereto.

c. **Severability.** Should any portion of this MOU be judicially determined to be illegal or unenforceable, the remainder of this MOU shall continue in full force and effect, and either party may renegotiate the terms affected by the severance.

d. **Compliance with Applicable Laws.** The parties shall at all times comply with all applicable laws, federal, and state, county, municipal statutes, ordinances and regulations relating to this MOU or which may affect the performance of this MOU.
e. Indemnification. Each party shall be responsible for and indemnify, defend, and hold harmless the other party, from and against any third party claims arising out of or in connection with (a) the negligent acts or omissions of its respective officers, agents, directors, and employees to the extent allowable by law; and (b) its breach or alleged breach of this MOU.

f. Liability. No officer, member, official, employee, or agent of the Chicago Continuum of Care or the HMIS Lead shall be personally liable in connection with this MOU. To the extent that any liabilities, losses, or damages with regard to or in connection with this MOU are caused by or result from the acts or omissions of Bowman Systems, the HMIS Lead’s liability to the Chicago CoC shall be limited to the amount and extent that Bowman Systems is liable to the HMIS Lead under the agreement between Bowman Systems and the HMIS Lead.

g. Governing Law and Disputes. This MOU and all subsequent amendments shall be governed and construed in accordance with the laws of the State of Illinois. The exclusive venue for any dispute shall be Cook County, Illinois.

I. Signatures. In Witness Whereof, the parties to this MOU through their duly authorized representatives have executed this MOU on the days and dates set out below, and certify that they have read, understood, and agreed to the terms and conditions of this MOU as set forth herein. The effective date of this MOU is the date of the signature last affixed to this page.

Nonie Brennan  
Executive Director/CEO  
All Chicago  

2/13/17  
Date

Richard Rowe  
Board Chair  
Chicago Board of Directors

2/13/17  
Date
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Introduction

HMIS Objectives and Expectations

The HMIS implementation is led by the Chicago Alliance to End Homelessness (CAEH) in close collaboration with the Chicago Planning Council on Homelessness (Planning Council). In turn, the Planning Council relies on a number of committees and task groups to develop policy recommendations and provide guidance on implementation activities. These groups are committed to balancing the interests and needs of all stakeholders involved, including but not limited to homeless men, women, and children; service providers; funders; and policy makers.

The Bowman Systems software product, ServicePoint, has been adopted by the Chicago Continuum of Care (CoC) as the official Homeless Management Information System (HMIS) for CoC providers. The primary goal of the HMIS is to provide a data collection and reporting tool to aid the Continuum in its efforts to end homelessness in Chicago. The HMIS provides a critically important vehicle to collect client-level and data on the provision of housing and services to homeless individuals and families and persons at risk of homelessness. The HMIS facilitates the analysis of information that is gathered from consumers throughout the service provision process to generate an unduplicated count and other aggregate information (stripped of any identifying client level information) that can be made available to policy makers, service providers, advocates, and consumer representatives.

This document describes the policies, procedures, guidelines, and standards -- collectively referred to as the Standard Operating Procedures (SOPs) -- that govern HMIS operations and the respective roles and responsibilities of the HMIS Lead and agencies contributing HMIS data (identified by HUD and hereafter as Contributing HMIS Organizations or CHOs), whether such contribution of data is voluntary or required as a condition of funding. The SOP is structured to comply with the most recently released *HUD Data and Technical Standards for HMIS*. Recognizing that the Health Insurance Portability and Accountability Act (HIPAA) and other Federal, State and local laws may further regulate agencies, the Continuum may negotiate its procedures and/or execute appropriate business agreements with Partner Agencies so they are in compliance with applicable laws.
SECTION 1
Contractual Requirements & Roles
Planning Council Responsibilities

Policy: The Planning Council must review and approve all HMIS policy decisions.

Standard: The HMIS related responsibilities of the Planning Council will be apportioned according to the information provided below.

Purpose: To define the roles and responsibilities of the Planning Council with respect to HMIS activities.

Responsibilities:

As required by the CoC Interim Rule, the Planning Council, acting on behalf of the Continuum of Care, is responsible for:

— Designating a single HMIS for the geographic area;
— Designating an HMIS Lead to manage the Continuum’s HMIS;
— Reviewing, revising, and approving a privacy plan, security plan, and data quality plan that is in compliance with HUD HMIS regulations and notices;
— Ensuring consistent participation of recipients and sub recipients in the HMIS; and
— Ensuring the HMIS is administered in compliance with requirements prescribed by HUD.

The Planning Council is responsible to review and approve any HMIS-related decisions. The Planning Council may designate a committee or task group to develop and help enforce the implementation of HMIS policies.

The Planning Council will provide guidance on the following HMIS-related key issues:

— The guiding principles that should underlie the HMIS implementation activities of participating organizations and service programs.
— Approving data quality standards, policies and procedures for ensuring adherence to data quality standards for the CoC as stated by HUD
— Encouraging Continuum-wide provider participation.
— Defining criteria, standards, and parameters for the use and release of all data collected as part of the HMIS.
— Documenting, approving, and regularly reviewing the policies herein the “Chicago Homeless Management Information System Operating Procedures for Implementation” (commonly referred to as the SOPs);
— Establishing Continuum-level mechanisms for monitoring and/or enforcing compliance with the approved SOPs; and
Any CoC stakeholder or Planning Council committee/workgroup may raise concerns or make recommendations for revising a specific HMIS SOP. To the extent that such a concern or recommendation is brought to the attention of the Planning Council, or if an SOP appears to conflict with applicable local, state or federal laws, or contractual obligations, the Planning Council will work with the HMIS Lead to amend the policy or procedure to address the matter. The Planning Council may also identify procedures that need to be amended based on the initial implementation and/or ongoing operation of the system. The Planning Council’s process for addressing such matters shall be as follows:

— The Planning Council shall designate a specific committee or workgroup to explore the concern and to develop a recommendation for full Planning Council consideration. While a single committee may be identified as the primary entity generally responsible for overseeing the SOPs, another committee may be designated as the lead to explore a specific concern/recommendation.
— Proposed revisions must be presented and approved by the full Planning Council.
— After approval, a list of all revisions, the date revised, and a brief description of the change should be incorporated as part of the Table of Contents in the SOP documentation. The most current revision date should also be noted at the top of each individual policy.
**HMIS Lead Responsibilities**

**Policy:** An HMIS Lead Agency (hereinafter HMIS Lead) will be designated to support the operations of the HMIS according to the policies and procedures described in this document. Effective May 1, 2012, by agreement of the Planning Council on behalf of the Continuum of Care, the City of Chicago, and HUD, the Chicago Alliance to End Homelessness (CAEH) will serve in the role of HMIS Lead.

**Standard:** The responsibilities of the HMIS Lead are described herein.

**Purpose:** To define the roles and responsibilities of the HMIS Lead organization and staff.

**Responsibilities:**

The HMIS Lead is responsible for:

(a) Overseeing the operation of the Continuum-wide HMIS, to ensure that implementation is in compliance with HUD requirements.

(b) Developing and recommending periodically necessary revisions to, and implementing the privacy plan, security plan, and data quality plan which the Planning Council is charged with approving.

(c) Overseeing the participation by recipients and sub recipients and other Contributing HMIS Organizations (hereinafter CHOs) in the Continuum-wide HMIS.

(d) Developing, recommending periodically necessary revisions to, and overseeing compliance with the Chicago HMIS System Operating Procedures (hereinafter SOPs) adopted by the Planning Council on behalf of the Continuum.

(e) Executing and overseeing compliance with written HMIS Participation Agreements with each CHO, in accordance with HUD requirements and these SOPs.

(f) Serving as the applicant to HUD for grant funds to be used for HMIS activities for the Continuum-wide HMIS and, if selected for an award by HUD, entering into a grant agreement with HUD to carry out the HUD-approved activities.

(g) Supervising the contractual relationship with the HMIS Vendor.

(h) Working with the Planning Council to ensure the adequacy of funding to support the cost of the HMIS implementation, including the cost of staff and operations required by the HMIS Lead to comply with its responsibilities as defined herein and by HUD.

The HMIS Lead is responsible for oversight of all day-to-day operations including:

— Understanding all aspects of the HMIS implementation, and communicating significant application issues and/or system
problems to the HMIS vendor

Making, supporting, and/or requesting from the HMIS Vendor any application-level changes to setups and configurations, user interfaces, or system enhancements.

Providing application, functionality, privacy protection, system security and agency-level system administration functionality.

Supporting Agency Technical Administrators in fulfilling their HUD-related roles and responsibilities within their respective agencies, including generating all HUD-required reports, ensuring adherence to data quality standards, and supporting necessary data migration;

Communicating system availability, planned outages, and other HMIS information to Agency Technical Administrators.

Managing CHO agency and user system access based on execution of applicable agreements, training, and adherence to approved policies.

Assigning user IDs to new users based on the approved licensing structure, authorized agency requests, and documentation of user training.

Managing user accounts and application access control, in conjunction with the Agency Technical Administrators.

Supporting CoC participation in the Annual Homeless Assessment Report;

Providing technical support and application training to users; except that the HMIS Lead may delegate responsibility for application training to Technical Administrators at the various partnering agencies, or to other appropriately qualified agency staff, upon demonstration that said staff are sufficiently skilled and knowledgeable to effectively deliver such training.

Monitoring compliance by CHOs with the provisions of the privacy, data security, and data quality plans, including periodically site visits to assess agency and staff adherence to data security policies and procedures;

Developing a reasonable number of reports for use by CHOs to enable them to meet funding requirements, to support their efforts to ensure data quality (e.g., to identify missing data, inconsistent data, excessive use of "unknown" and "refused" responses, etc.), to facilitate caseload management, to support performance measurement, and to support participation in a CoC-wide coordinated intake and assessment system, when such system is implemented.

To enter into an agreement with approved CHOs that enter HMIS data into their own systems (hereinafter "Interface Agencies") to upload their HMIS data into the CoC-wide HMIS. In conjunction with this responsibility, the HMIS Lead will assist in troubleshooting problems with such uploads, and will work with the HMIS Vendor and the Interface Agency to help resolve any such problems.

Administering other system functions, as needed and appropriate.

The HMIS Lead shall specify within the written HMIS Participation Agreements executed with each CHO the nature and circumstances under which persons employed by or contracting with the HMIS Lead may have access to client-level data as part of their system administration responsibilities. All such employees and
contractors must execute computer security and data confidentiality agreements as a precondition of access to client-level data. The HMIS Lead shall likewise ensure in its agreement with the HMIS Vendor that the vendor’s employees and subcontractors are bound by similar requirements.
Responsibilities of Contributing HMIS Organizations (CHO)

Policy: The CEO or the Executive Director of every CHO will be responsible for oversight of all agency staff members who generate or have access to client-level data stored in the system software to ensure adherence to the HMIS standard operating procedures outlined in this document.

Standard: The CEO or the Executive Director holds final responsibility for the adherence of his/her agency's personnel to the HMIS Guiding Principles and Standard Operating Procedures outlined in this document.

Purpose: To outline the role of the agency CEO or the Executive Director with respect to oversight of CHO personnel in the protection of client data within the HMIS application.

Responsibilities:

The CHO's CEO or the Executive Director is ultimately responsible for all activity associated with agency staff access to and use of the HMIS. The CEO or the Executive Director is responsible for establishing and monitoring compliance with agency procedures that adhere to the Standard Operating Procedures (SOPs) outlined in this document. The CEO or the Executive Director is ultimately responsible for any misuse of the HMIS by his/her designated staff. The CEO or the Executive Director agrees to only allow access to the HMIS based upon need. Need exists only for those program staff, volunteers, or designated personnel who work directly with (or supervise staff who work directly with) clients and/or have data entry, analysis, or reporting or other administrative responsibilities which require access to the HMIS.

The CEO or the Executive Director will sign an Agency Partnership Agreement with the HMIS Lead to oversee the implementation and:

- Assumes ultimate responsibility for completeness, accuracy, and protection of client-level data entered into the HMIS system;
- Must oversee the implementation of data security policies and standards;
- Must establish business controls and practices to ensure organizational adherence to the HMIS SOPs;
- Must designate an Agency Technical Administrator (ATA) to manage HMIS related technical tasks; the ATA may be an employee of the agency, a paid consultant to the agency, a paid consultant or employee of a second agency whose service as an ATA is contractually shared by the two (or more) agencies.
- Must communicate data privacy, confidentiality, and security requirements to agency data custodians and users;
— Designates the staff that is authorized to access the data and/or have responsibility for custody of the data.
— Is responsible for monitoring compliance and for periodically reviewing agency data access, management, and custody policies and procedures.
HMIS Agency Technical Administrators (ATA) Responsibilities

Policy: The CEO or the Executive Director of every CHO must designate one person to be the ATA

Standard: The designated ATA has responsibility for the administration of the system software in his/her agency.

Purpose: To outline the role of the ATA

Responsibilities:

The ATA is:

— The point person for the HMIS Lead team.
— The go to person for all HMIS users within the CHO
— To understand the system and the data and to be able to generate reports; frequently logging into the system.
— Responsible for CHO's data quality and reports
— Responsible for ongoing training and support for all staff apart from the trainings offered by the HMIS Lead team
— To be in compliance with the License Management Policy (Appendix B)
— Ensure all agency information is up to date with the Lead team
— Source for all HMIS related forms and consents.
— Leader in ensuring that the agency and programs are in compliance with all other HMIS requirements as specified by the HMIS Lead Team

Access for ATA's in the system allows:

— The ability to be in shadow mode
— Deletion of records
— Viewing of all their agency and program data
— Ability to view and generate data reports using Advanced Reporting Tool (ART)
HMIS Interface Agency Responsibilities

Policy: Agencies that have received approval prior to September 19, 2012 may continue to contribute data to HMIS as an interface agency and are required to comply with the Interface policy. The agency is responsible for ensuring the timeliness, accuracy and all costs associated with data uploaded to the CoC’s designated HMIS.

Standard: Agencies participating in HMIS as interface agencies will sign an agreement with the HMIS Lead and provide their own technical support and funding for interface/upload capabilities, and will ensure their data is transmitted in a manner that is timely, complete and accurate.

Purpose: To outline the responsibilities for interface agencies and comply with the Interface Policy (Appendix D)

Procedures Pertaining to Interface Agencies:

Agencies that upload data from their own database into the CoC’s HMIS will follow the steps outlined below:

1. Enter into a yearly contract/agreement with the HMIS Lead for technical support, charges incurred due to customizations, to ensure a license allowing uploading of the data and naming the specific staff that will oversee such uploading.

2. The ATA or the interface designated staff must validate and test data uploads to ensure accuracy with HMIS Software Provider before officially submitting data, and monitor data uploads on a regular basis to ensure accuracy.

3. Periodically modify data import format as changes are made to the HUD data standard, or database and CoC workflow changes.

4. Upload all required data at least monthly, or more often, as instructed and required by the HMIS Lead, provided, however, that the HMIS Lead may from time to time direct interface agencies to complete special supplementary uploads to ensure data completeness or to correct data problems, as described below.
Responsibilities of Interface Agency:

The Interface Agency is financially held responsible to ensure that all required data is uploaded in a timely and accurate manner, and that the data is collected and handled in compliance with CoC’s established data privacy, data security, and data quality plans, and in compliance with HUD requirements and any other applicable laws or regulations.

The Interface agency will be held responsible for ensuring that data is in the appropriate format. To the extent that the HMIS Lead identifies data quality problems with the uploaded data, it will be the Interface Agency’s responsibility to address those data quality problems, including making any necessary corrections in the source data for a subsequent upload, within an agreed upon timeframe.

Interface Agencies must upload data at least monthly, and should anticipate a requirement for more frequent upload as the Continuum moves to implement the coordinated intake and assessment system required by HUD.

If the Interface Agency determines that properly formatted data was not correctly uploaded into the HMIS, the Interface Agency shall contact the HMIS Lead to request help in addressing the problem and incur the charges for the changes appropriately. The agency is responsible for all costs incurred to implement, operate, and modify their side of the interface process.
SECTION 2
Operational Policies and Procedures
HMIS Participation Policy

**Policy:** Agencies that are funded by the City or HUD to provide client level services to prevent or address homelessness in Chicago are required to participate in the HMIS. All other providers operating client-level programs to prevent or address homelessness in Chicago are strongly encouraged to participate in the HMIS.

**Standard:** The HMIS Lead will provide quality HMIS services to all participating agencies.

**Purpose:** To outline which agencies are expected to participate in the HMIS, the extent to which their participation is mandated or voluntary, and a definition of participation.

**Procedure:**

Beginning with the 2012 City of Chicago and HUD Emergency Solutions Grants (ESG), all recipients and sub recipients must participate in HMIS. All recipients and sub recipients of HUD Continuum of Care grants, including recipients of legacy Supportive Housing Program (SHP) grants, Section 8 Moderate Rehabilitation SRO grants, and Shelter plus Care grants must participate in the HMIS. Congress and HUD have established that victim services providers and legal assistance providers may satisfy this requirement through use of a comparable data base as described in the applicable HUD regulations.

This policy is consistent with the Congressional Direction for communities to provide data to HUD on the extent and nature of homelessness and the effectiveness of its service delivery system in preventing and ending homelessness. The HMIS and its operating policies and procedures are structured to comply with the most recently promulgated HUD Data and Technical Standards Final Notice. Recognizing that certain agencies may be further constrained by HIPAA and other Federal, State and local laws, the HMIS Lead shall work with such agencies to develop recommendations to the Planning Council regarding the appropriate level and parameters of their HMIS participation, and shall tailor its agreements with such agencies pursuant to the policies and procedures adopted by the Planning Council, so that those agencies may remain in compliance with applicable laws.

**Participation Requirements**

*Mandated Participation*
All providers that are funded by the City or HUD to provide client-level services to prevent or address homelessness in the City of Chicago must meet the Minimum Participation Standards of the HMIS, as defined by this SOP. Participating agencies will be required to comply with all applicable operating procedures and must agree to execute and comply with an HMIS Agency Partner Agreement.

Voluntary Participation

Although only HUD and City-funded programs are required to participate in the HMIS, the HMIS Lead and the Planning Council will strongly encourage an appropriate level of HMIS participation by all programs targeting assistance to homeless persons (e.g., universal fields only for overnight emergency shelters, program fields for programs offering more extended assistance, etc.). While neither the Planning Council nor the HMIS Lead can require non-HUD-funded and non-City-funded providers to participate in the HMIS, they will work to persuasively articulate the benefits of HMIS participation in order to achieve a more comprehensive and accurate understanding of homelessness in Chicago.

Minimum Participation Standards

A client has the right to refuse to have his/her data entered into the HMIS database. The client’s individual choice regarding participation will not affect his/her right to services. The only exception to this Standard is for clients who call the Homeless Prevention Call Center (HPCC); as stated under the policy and procedures section.

Minimum participation means:

— Each participating agency shall execute an HMIS Agency Partner Agreement and, if applicable, a Data Sharing Agreement.

— Collecting the universal data elements: Data Collection Requirements, for all programs operated by the agency that primarily serve persons who are homeless or formerly homeless, or that provide client-level ESG-funded homelessness prevention assistance;

— Collecting program-specific data elements: Data Collection Requirements, for all clients served by programs funded under HUD’s Continuum of Care program and for some designated programs funded by the City of Chicago;

and

— Submitting data to the HMIS using one of the following options:

  o Option 1: Entering client-level data into the HMIS while being in compliance with Data Quality and Monitoring Plan

  o Option 2: Interface agency will be responsible to abide by the Interface policy and for ensuring that the data is in the appropriate format for uploads and being responsible for all costs associated with formatting and uploading data correctly. Upload of data is expected to be in compliance with Data Quality and Monitoring Plan


Option 3: In accordance with requirements outlined in HUD regulations, victim services providers and providers of legal assistance shall be deemed in compliance with this requirement by virtue of entering their data into a comparable data base.

Each CHO shall designate an ATA. The main role of this person is to serve as a liaison between the Agency and the HMIS Lead and is responsible for organizing its agency user's, making sure proper training has taken place for the users and that all paperwork and confidentiality requirements are being followed by all users from that agency.
Initial HMIS Participation Requirements

Policy: Each CHO must meet all initial participation requirements in order to receive access to the HMIS.

Standard: HMIS Lead will certify that the CHO has met the participation requirements prior to initiating the HMIS.

Purpose: To provide Agencies with clear expectations for their participation in the HMIS.

Requirements:

Prior to setting up a new Partner Agency within the HMIS database, the HMIS Lead shall:

— Call on a meeting to discuss HMIS goals and objectives, requirements, site considerations, and documentation.

— Agency Partnership Agreement: An authorized Agency representative is required to execute a Partner Agreement stating the organization's commitment to uphold the policies and procedures for effective use of the HMIS and proper collaboration with the HMIS Lead. An executed Partner Agency Agreement must be in the possession of the HMIS Lead as a precondition for HMIS access.

— Verification and Documentation, including:
  - All documentation on agency and program information must be submitted to ensure that complete and accurate CHO information is entered within the HMIS. All forms must be in the possession of the HMIS Lead's as a precondition for HMIS access.
  - Agency Technical Administrator: One key staff person or contractor must be designated to serve as the Agency Technical Administrator (ATA) for each CHO.
  - Fee payment, if applicable. Each CHO is responsible for individual agency costs related to equipment purchase, equipment maintenance, internet connectivity, and related personnel expenses.

Site Hardware & Connectivity Requirement: Any computer being used to access the HMIS must meet the minimum hardware and recommended connectivity requirements.
Data Migration: All legacy data that will be migrated from a CHO’s existing database to the HMIS database must be cleaned, updated, and formatted according to HMIS data specifications prior to migration. The specific requirements for cleaning, updating, formatting, and uploading that data must be individually discussed in advance of uploading with the HMIS Lead.
HMIS User Set-Up Procedure

Policy: The HMIS Lead may create a new User ID for eligible individuals based on the following procedure.

Standard: The HMIS Lead must ensure that the following set-up procedure has occurred prior to setting up a new user.

Purpose: To inform all parties involved with the HMIS of the requirements to become an HMIS user.

Responsibilities:

User Requirements

Prior to being granted a username and password, users must:

— Successfully complete all HMIS policy and application training required for assigned user level.
— Execute an HMIS End User Policy and Code of Ethics (Appendix C)

Users must be aware of the sensitivity of client-level data and take appropriate measures to prevent unauthorized disclosure of it. Users are responsible for protecting institutional information to which they have access and for reporting security violations. Users must comply with the all policy and standards described in these Standard Operating Procedures. Users are accountable for their actions and for any actions undertaken with their usernames and passwords.

The HMIS Lead shall:

— Review HMIS records about previous users to ensure that the individual does not have previous violations with the HMIS SOPs that prohibit access to the HMIS.
— Verify that required training has been successfully completed.
  Note: A new user login with credentials will be created for the user if the user attended the training
— Verify that the required documentation have been correctly executed and submitted.

Once the user ID is established, the ATA is responsible for maintaining the user account. The ATA is responsible for immediately terminating user access if any user leaves employment with the agency, or otherwise no longer needs access to the HMIS and must notify the HMIS Lead team.

If an ATA leaves the agency or deemed no access to the HMIS, it will be the responsibility of the immediate supervisor or CEO/Executive Director to notify the HMIS Lead team immediately.
Volunteers and Interns have the same user requirements as that of a paid staff. They must have an individual user account, go through the same training, and have the same confidentiality and privacy documents signed and on file with the agency they are serving. The CEO or the Executive Director is responsible for ensuring that the user understands and complies with all applicable HMIS SOPs.

*Enforcement Mechanisms:*

The HMIS Lead team has the right to investigate all potential violations of any security protocols. Any user found to be in violation of security protocols will be sanctioned.

Sanctions include, but are not limited to:

- A formal letter of reprimand;
- Suspension or Revocation of system privileges

A user may also be subjected to disciplinary action leading to termination of employment if serious or repeated violation(s) of HMIS Policies and Procedures.
Policy: The Homelessness Prevention Call Center will utilize HMIS to capture and report data with the exception of the client notification policy that is contrary to their operations and functions as a program that delivers services via telephone or other electronic referral.

Standard: Homelessness Prevention Call Center that delivers services primarily through telephonic or other electronic means is responsible for ensuring that the appropriate procedures are implemented to enforce the client notification and consent policy.

Purpose: To outline the operating procedures for the Homeless Prevention Call Center to contribute data to HMIS.

Responsibilities:

All clients must be informed of their right to participate in HMIS. Clients will be read the privacy notice and given the opportunity to view it on the agency website or pick up a copy at the agency. Callers who do not want their information shared will have their records closed and/or maybe limited in their ability to obtain an agency referral.
SECTION 3
Security and Privacy Policies and Procedures
Policy: CHOs shall use the Client Notification and/or consent procedure prior to entering any client-level data into the HMIS.

Standard: The CEO or the Executive Director of each CHO is responsible for ensuring that the agency has implemented appropriate procedures to enforce the client notification and consent procedures.

Purpose: To give client's control of their personal information.

Responsibilities:

The HMIS Lead team with approval from the PC and HMIS Committee has prepared standard documents for HMIS Notice of Privacy Practices and Client Consent to Release Information. CHOs may either use these forms or incorporate the content of these documents in their entirety into the Agency's own documentation. All written consent forms must be stored in a client's case management file for recordkeeping and auditing purposes. The forms that are part of the packet are:

- HMIS Privacy documents Instructions and Index
- Standard Agency Privacy Posting
- Standard Agency Privacy Practices Notice
- Client Consent Form
- DV Form
- Client Revocation Form

CHOs must make reasonable accommodations for persons with disabilities throughout the data collection process. This may include but is not limited to, providing qualified sign language interpreters, readers or materials in accessible formats such as Braille, audio, or large type, as needed by the individual with a disability.

CHOs that are recipients of federal assistance shall provide required information in languages other than English that are common in the community, if speakers of these languages are found in significant numbers and come into frequent contact with the program.

Client Notice:

A written notice of the assumed functions of the HMIS must be posted and/or given to each client so that he/she is aware of the potential use of his/her information and where it is stored. No consent is required for the functions articulated in the
notice. However, as part of the notification process, clients must be informed of their right to designate their client records as hidden/closed. The client also has a right to view a copy of his/her record upon request. To fulfill this requirement, the agency may either adopt the HMIS Notice of Privacy Practices or may develop an equivalent Privacy Notice that incorporates all of the content of the standard HMIS Notice. If the agency has a website, the adopted Notice of Privacy Practices or equivalent privacy notice must also be posted on the website.

Client Authorization:

HMIS users may share client information only if the client authorizes that sharing with a valid Client Release of Information form (see exception below for the call center operations).

Authorized users will be able to grant permission based on appropriate client consent to share individual client information with another agency’s users. Random file checks for appropriate client authorization, audit trails, and other monitoring tools may be used to ensure that this data sharing procedure is followed. Specific monitoring procedures around program enrollment will be implemented to ensure appropriate client information access.

Client Revocation:

The client maintains a right to revoke written authorization at any time (except if that policy is over-ridden by Agency policy or if the information is required to be shared as a condition of a provider agreement). Note that any such revocation will not be retroactive to any information that has already been released. To fulfill this requirement, the agency may adopt the Alliance’s “Client Revocation Form” or may develop an internal form that incorporates the content of the Alliance’s form.

Applicability

CHO shall uphold Local, State and Federal Confidentiality regulations to protect client records and privacy. If an agency is covered by Health Insurance Portability and Accountability Act (HIPAA), the HIPAA regulations prevail.

The following table summarizes the client data categories and the related notification/consent and sharing rules that relate to each data category. These minimum procedures should not imply that all providers will perform all of these functions.
### Client Data Elements

<table>
<thead>
<tr>
<th>Primary Identifying Information:</th>
<th>Summary of Notification/Consent and Data Sharing Procedures</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Name and Aliases</td>
<td>Open Client Record: If the client does not ask to hide his/her identifiers, the primary identifiers along with Household information under the Summary Tab will be available to all HMIS users in the Client Search to locate an existing client. None of the other client information will be accessible.</td>
</tr>
<tr>
<td>• Date of Birth</td>
<td>Closed Client Record: If a client disagrees to share his/her primary identifiers, the record must be locked and will appear on the Client Search List only for the originating agency. It will be hidden to all other agencies and searches with the exception of Systems Administrators (HMIS Lead team)</td>
</tr>
<tr>
<td>• Gender</td>
<td></td>
</tr>
<tr>
<td>• Social Security Number</td>
<td></td>
</tr>
<tr>
<td>• Veteran Status</td>
<td></td>
</tr>
</tbody>
</table>

Along with:

- Household/Relationship information

### All other Client Information:

<table>
<thead>
<tr>
<th>All other Client Information:</th>
<th>Closed Client Records:</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Entry/Exit</td>
<td>Client information is available only within the originating service provider to users that have an authorized access level and to authorized, System Administrators for system administration purposes. Any other sharing of this data should be limited to specific partner service providers as a closed exception and requires signed consent from the client.</td>
</tr>
<tr>
<td>• Service Provided/Transactions</td>
<td></td>
</tr>
</tbody>
</table>

### Protected Information:

<table>
<thead>
<tr>
<th>Protected Information:</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>• Housing History</td>
<td>Open Client Records: The client must agree to provide a written consent before sharing data.</td>
</tr>
<tr>
<td>• Disability</td>
<td>Closed Client Records: All Client records will remain locked and Clients are made aware that lack of sharing will impact their ability to be screened as eligible for the Rapid Re-housing program</td>
</tr>
<tr>
<td>• Mental Health</td>
<td></td>
</tr>
<tr>
<td>• Substance Abuse</td>
<td></td>
</tr>
<tr>
<td>• HIV/AIDS</td>
<td></td>
</tr>
<tr>
<td>• Domestic Violence Information</td>
<td></td>
</tr>
<tr>
<td>• Health Insurance Information</td>
<td></td>
</tr>
</tbody>
</table>

### Program Exceptions:

<table>
<thead>
<tr>
<th>Program Exceptions:</th>
<th>Sharing of data elements for specific programs and/or projects are funding requirements based.</th>
</tr>
</thead>
<tbody>
<tr>
<td>• Primary Identifying Information</td>
<td>Open Client Records:</td>
</tr>
<tr>
<td>• HUD COC and ESG Entry Assessment</td>
<td>The client must agree to provide a written consent before sharing data.</td>
</tr>
<tr>
<td>• Homeless Status</td>
<td></td>
</tr>
<tr>
<td>• Income</td>
<td></td>
</tr>
<tr>
<td>• Additional resources that could help with housing</td>
<td></td>
</tr>
<tr>
<td>• Current contact information</td>
<td></td>
</tr>
<tr>
<td>• Case Manager’s contact information</td>
<td></td>
</tr>
</tbody>
</table>

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**Specific Call Center Exception to Written Consent Requirement:**

Call center operations will not be required to obtain written consent to share primary and
general client information collected primarily through telephonic or other electronic means. However, all clients must be informed of their rights regarding HMIS participation. Clients will be read the Call Center Consent and Notifications script. Clients can view the Privacy Notice on the Call Center website or pick up a copy at the Call Center. Callers who do not want their information shared in HMIS will have their records closed and/or may be limited in their ability to obtain an agency referral.

*Special Notice and Consent for Persons who May be Victims of Domestic Violence:*

A mainstream agency that is serving a victim of domestic violence must explain the potential safety risks for domestic violence victims and the client’s specific options to protect her/his data, such as designating her/his record as hidden/closed to other agencies. Thus, the client notification form must clearly state the potential safety risks for domestic violence victims and delineate the information sharing options. All staff must be trained on the protocol for educating domestic violence victims about their individual information sharing options.

*Specific Client Notification Procedures for Unaccompanied Minor Youth:*

Based on their age and potential inability to understand the implications of sharing information, the HMIS cannot be used to share information about unaccompanied minor youth outside of the originating agency. Thus even with written client authorization, users cannot share any client information of unaccompanied minor youth. For the purposes of this policy, minor youth are defined as youth under 18.

*Privacy Compliance and Grievance Policy:*

Agencies must establish a regular process of training users on this policy, regularly auditing that the policy is being followed by agency staff (including employees, volunteers, affiliates, contractors and associates), and receiving and reviewing complaints about potential violations of the policy.
Data Access Control Policies and Procedures

Policy: HMIS Lead must reasonably secure the HMIS data from access from unauthorized users.

Standard: HMIS Lead or its designee should employ access prevention control measures to secure HMIS database resources.

Purpose: To protect the security of the HMIS database(s).

Guidelines:

User Accounts

Each user's access to data should be defined by their user type and specific agency data-sharing agreements, if any. Agency Technical Administrators must regularly review user access privileges and terminate user IDs and passwords from their systems when users no longer require access.

Users should only be logged into the HMIS from one workstation at any given time.

User Passwords

Each user must have a unique identification code (user ID). Each user's identity will be authenticated using a user password. Passwords are the individual's responsibility. Users are prohibited from sharing user IDs or passwords. Sanctions will be imposed on the user and/or agency if user account sharing occurs.

A temporary password will be automatically generated from the system when a new user is created. Agency Technical Administrators or HMIS Lead will communicate the system-generated password to the user. The user will be asked to establish a permanent password at initial log-in.

The system will force the users to change the passwords once every 45 days. Users at that time will be able select and change their own passwords. A password cannot be re-used until 2 password selections have expired.

Passwords should be between eight and sixteen characters long and not easily guessed or found in a dictionary. The password format is alphanumeric.

Any passwords written down must be securely stored and inaccessible to other persons. Users should not save passwords on a personal computer for easier log on.

Password Reset

Except when prompted by ServicePoint to change an expired password, users cannot reset their own password. The HMIS Lead and in some cases, the Agency Administrator, have the ability to temporarily reset a password. If an Agency Administrator needs to have his/her password set, a member of the HMIS Lead will need to reset that password.
Temporary Suspension of User Access to Database Resources

System Inactivity: Users must log off from the HMIS and workstation if they leave their workstation. If a user is logged onto a workstation, and the period of inactivity on the workstation exceeds the designated inactivity time period. The user will be automatically logged off of the system. By default the inactivity period is set to 30 minutes – if a user is inactive for 30 minutes, then the user is logged off and must reenter his/her user ID and password in order to resume work.

Unsuccessful logon: If a User unsuccessfully attempts to log on 3 consecutive times, the User ID will be “locked out”, access permission revoked and unable to gain access until their password is reset by the HMIS helpdesk or ATA.

Electronic Data Controls

Agency Policies Restricting Access to Data: The CHOs must establish internal access to data protocols based on the final HUD Data and Technical Standards.

Downloaded Data:

Users have the ability to download and save client-level data. Once this information has been downloaded from the HMIS server, the security of this data then becomes the responsibility of the user and the agency.

Ability to export Agency specific Database from HMIS:

CHOs will have the ability to export a copy of their own data for internal analysis and use. Agencies are responsible for the security of this information.

Hardcopy and Digital Data Controls

Printed versions (hardcopy) of confidential data should not be copied or left unattended and open to compromise. Media containing HMIS client identified data may not be shared with any person or agency other than the owner of the data for any reason not disclosed within the Client Notice.

Agencies policies, consistent with applicable state and federal laws, should be established regarding appropriate locations for storage, transmission, use and disposal of HMIS generated hardcopy or digital data. HMIS data may be transported by authorized employees using methods deemed appropriate by the participating agency that meet the above standard.

Reasonable care should be used, and media should be secured when left unattended. Magnetic media containing HMIS data which is released and/or disposed of from the participating organization and central server should first be processed to destroy any data residing on that media. Degaussing and overwriting are acceptable methods of destroying data. HMIS information in hardcopy format should be disposed of properly. This may include shredding finely enough to ensure that the information is unrecoverable.
HMIS Agency Hardware, Connectivity and Security Requirements

Policy: Any computer, tablet, smartphone or other such device used to enter data into the HMIS or to access data already in the HMIS must meet the minimum technical and connectivity specifications and comply with applicable data security and privacy requirements established in these SOPs.

Standard: The CHO must certify that they have adequate hardware, connectivity, and data privacy and security protections in place, in order to be granted HMIS access.

Purpose: To provide agencies with minimum requirements for hardware and connectivity.

Requirements:

Workstation Specifications:

Computers using HMIS must meet the minimum specifications below or newer as prescribed by Bowman Systems.
- Operating System: Microsoft Windows XP or better
- Processor: 2 Gigahertz or higher processor (a Dual-Core processor is recommended);
- Memory: 512 MB RAM; for Windows XP: 4Gig recommended (2 Gig minimum); for Windows Vista: 2Gig recommended (1 Gig minimum)
- Web Browser: The latest versions of either Firefox, Internet Explorer, or Chrome are recommended. No additional plugin is required

Internet Specifications:

Agencies directly entering data must have internet connectivity for each workstation that will be accessing the HMIS. To optimize performance, all agencies are encouraged to secure a high speed internet connection with a cable modem or DSL/ISDN or T1 line.

Agencies considering or using a wireless internet configuration must employ higher security measures. A secure internet connection is required and wireless settings must be documented as part of the information security protocol created by each CHO.

Security Specifications:

All workstations directly accessing the HMIS and any workstation that is on a network that has a workstation(s) directly accessing the HMIS must have:
- Operating System Updates. Operating system updates must be downloaded and applied automatically or on a regular basis.
- Adequate firewall protection and apply all critical virus and system updates automatically.
— Virus protection software. Virus definitions must be updated automatically.
— Anti-spyware software. Spyware definitions must be updated automatically.
— Anti-Phishing software. Phishing definitions must be updated automatically.

Agency Workstation Access Control:

Access to the HMIS will be allowed only from computers specifically identified by the CHO’s CEO or Executive Director or authorized designee and the ATA. Each agency’s ATA will determine the physical access controls appropriate for their organizational settings. Each workstation, including laptops used off-site, should have appropriate and current firewall and virus protection.
Policy: The HMIS application will be available to users in a manner consistent with the agencies' reasonable usage requirements.

Standard: HMIS Lead staff will operate the system and respond immediately in the event of an interruption to service.

Purpose: To define system availability.

Guidelines:

Staff from the HMIS Lead will be available during normal business hours 8:00 – 5:00PM.

**Interruption to Service**

The HMIS Lead staff will ensure that all users are informed via HMIS email, helpdesk and/or newsletter of any planned interruption to service. An explanation of the need for the interruption, expected duration, and benefits or consequences will be provided.

When an event occurs that makes the system inaccessible and the interruption is expected to exceed two hours, the HMIS lead team will communicate with Bowman Systems, and Agency Administrators will be notified of any information regarding the interruption as it is made available.
SECTION 4

Training and Technical Support
Policy: The HMIS Lead will offer standard technical support services to all CHOs and users.

Standard: Users needing technical support on the HMIS application should access standard technical support services using the guidelines articulated in this policy.

Purpose: To define technical support services.

Guidelines:
As unanticipated technical support questions on the use of the HMIS application arise, users should follow the following procedure to resolve their questions.

ATA’s or any HMIS user can:
- Submit any HMIS technical questions through the HMIS portal
  - If question remains unresolved, the HMIS Lead team will further direct the question to Bowman technical support staff.
  - ATA’s can also access the knowledge base through the HMIS portal at any time to commonly asked questions and issues.

User Training
The HMIS Lead will provide ongoing HMIS software training as stated in the training protocol. The details of the protocol is outlined in this document is also accessible on the HMIS portal.

Agency/User Forms
All Agency Technical Administrators will be trained in the appropriate on-line and hardcopy forms. If the Agency Technical Administrator has questions on how to complete HMIS forms, he/she should contact the HMIS Lead through the portal.

Report Generation
Each CHO may send its ATA to receive training on how to develop agency-specific reports using the advanced reporting tools. The HMIS Lead will be a resource to agency users as they develop reports, but will be available to provide only a limited and deemed reasonable by the team to offer support to each CHO.
HMIS User Training Protocol

Policy: HMIS users follow the Training Protocol and must successfully complete training for access to ServicePoint.

Standard: The HMIS Lead will not create a user ID until successful completion of required training is attended.

Purpose: To inform users of the training requirements to access the HMIS.

Responsibilities:

Training Protocol:

HMIS Training Protocol for New Users:

Training Calendar:

HMIS New User Trainings are offered on the first and third Thursdays of every month. In addition, the third Monday of each month is available for New User agency-specific on-site training as needed. These training dates are available on a shared Google document. ATAs have access to the link to this calendar and can view it for training details and updates regarding openings.

Registration:

New employees (or those new to using HMIS) can contact hmis@allchicago.org to request a link to the New User Training Registration Form. The link to the Google document will be sent to the New User. The New User will be asked to specify their ServicePoint user role and the programs they will be entering data for within HMIS. In addition, the New User will specify the exact training date that they would like to attend. The registration form includes information about the need to attend the selected training and emphasizes this expectation. In addition, the form asks for the supervisor’s contact information to ensure that he or she will be notified if the New User does not attend the selected training.

Once the registration is reviewed by the HMIS Team, a confirmation email will be sent to the New User via an Outlook meeting invitation. The invitation will include the date, time, and location of the selected training along with other helpful information. The New User is encouraged to “accept” this information to confirm its receipt.

Licensure of New Users:

HMIS New Users will participate in the specific training designed to familiarize them with the ServicePoint site and to train them in the Chicago HMIS Workflow. Following their successful completion of training, the New User will receive their user name and password. The New User will gain access to the ServicePoint site at the close of the in-person training.

New Users are encouraged to remain active users within the HMIS ServicePoint site. They
are asked to log into the site within two weeks following their training. The New Users are asked to remain engaged with the site and the data entry and review process to both ensure appropriate interface with it and the entry of quality information.

**Ongoing Training and Support:**

At the close of the HMIS New User Training, participants and provided with information regarding the HMIS New Users Forum. This New Users Forum is scheduled in approximately two to three weeks following their participation in their initial training. The meeting takes place via webinar and is structured to allow New Users to share feedback regarding their training experience and to highlight any challenges they are experiencing when attempting to independently enter data into or access ServicePoint. The New Users are encouraged to participate and to share their questions and challenges. This session’s goal is to add one more means of supporting New Users as they navigate ServicePoint.

**HMIS Specialized Training for Current Users:**

**Training Calendar and Announcements:**

The ongoing trainings for Current HMIS Users are detailed on the HMIS Training calendar. The ATAs have access to this calendar and also receive training announcements via email from the HMIS team. ATAs are asked to communicate the training announcements and details to their programs.

Trainings may also be highlighted within the System News in the ServicePoint site. Current HMIS Users are encouraged to continue to access the site and to review the System News to ensure that they receive all of the related information.

**Registration for In-Person Trainings:**

Current Users can contact hmis@allchicago.org to request a link to the Training Registration Form. In addition, this link is emailed to the ATAs and can be received from their agency representative.

The Current User will be asked to complete the information on the Training Registration Form to participate in the selected training. Their attendance in the selected training is important and they are asked to register only if they can participate. The registration form asks for the supervisor’s contact information to ensure that he or she will be notified if their Current User does not attend the selected training. Once the registration is reviewed by the HMIS Team, a confirmation email will be sent to the Current User via an Outlook meeting invitation. The invitation will include the date, time, and location of the selected training along with other helpful information. The Current User is encouraged to “accept” this information to confirm its receipt.

**Registration for Online/Webinar-based Trainings:**

Webinar-based Trainings allow Current Users to register for each session via a Go-To-Webinar link. Once they complete the registration process, they will receive an email that confirms their participation and provides a unique login to use to join the training. Webinar-based Trainings allow for a number of Current Users to participate in the presented session. It is important that the Current Users register only if they can attend the selected session. Their supervisors will also receive notification if they do not attend the scheduled session.
SECTION 5
Appendix A-C
## Appendix A: Glossary of HMIS Acronyms and Terms

**Acronyms**

- AIRS - Alliance of Information & Referral Systems
- AHAR - Annual Homeless Assessment Report
- APR - Annual Performance Report
- CDBG – Community Development Block Grant
- CoC - Continuum of Care
- DOB - Date of Birth
- DV - Domestic Violence
- ESG - Emergency Solutions Grants
- eHIC – electronic Housing Inventory Chart
- FIPS - Federal Information Processing Standards Codes for states, counties, and named populated places.
- HEARTH – Homeless Emergency Assistance and Rapid Transition to Housing
- HIPAA - Health Insurance Portability and Accountability Act of 1996
- HMIS - Homeless Management Information System
- HUD - U.S. Department of Housing and Urban Development
- I&R - Information and Referral
- MH - Mental Health
- NOFA - Notice of Funding Availability
- PIT - Point in Time
- PKI - Public Key Infrastructure
- PPI - Personal Protected Information
- S+C - Shelter Plus Care (McKinney-Vento Program)
- SA - Substance Abuse
- SHP - Supportive Housing Program
- SRO - Single Room Occupancy
- SSN - Social Security Number
- SSI - Supplemental Security Income
- SSO - Supportive Services Only
- TA - Technical Assistance
- TANF - Temporary Assistance for Needy Families
- VAWA - Violence Against Women Act
- XML - Extensible Markup Language
**Glossary**

**Alliance of Information and Referral Systems (AIRS)**
The professional association for over 1,000 community information and referral (I&R) providers serving primarily the United States and Canada. AIRS maintains a taxonomy of human services.

**Annual Performance Report (APR)**
A report that tracks program progress and accomplishments in HUD’s competitive homeless assistance programs. The APR provides the grantee and HUD with information necessary to assess each grantee’s performance.

**Audit Trail**
A record showing who has accessed a computer system and what operations he or she has performed during a given period of time. Most database management systems include an audit trail component.

**Bed Utilization**
An indicator of whether shelter beds are occupied on a particular night or over a period of time.

**Biometrics**
Refers to the identification of a person by computerized images of a physical feature, usually a person’s fingerprint.

**Chronic Homelessness**
HUD defines a chronically homeless person as a homeless individual with a disabling condition who has either been continuously homeless for a year or more OR has had at least four (4) episodes of homelessness in the past three (3) years. To be considered chronically homeless, persons must have been sleeping in a place not meant for human habitation (e.g., living on the streets) and/or in an emergency homeless shelter during that time. Persons under the age of 18 are not counted as chronically homeless individuals.

**Chronically Homeless Household**
HUD defines a chronically homeless household as a family that has at least one adult member (persons 18 or older) who has a disabling condition who has either been continuously homeless for a year or more OR has had at least four (4) episodes of homelessness in the past three (3) years. To be considered chronically homeless, persons must have been sleeping in a place not meant for human habitation (e.g., living on the streets) and/or in an emergency shelter/safe haven during that time.

**Community Development Block Grant (CDBG)**
A flexible program that provides communities with resources to address a wide range of unique community development needs. Beginning in 1974, the CDBG program is one of the longest continuously run programs at HUD. The CDBG program provides annual grants on a formula basis to 1,180 general units of local and State governments.
Client Intake
The process of collecting client information upon entrance into a program.

Consumer
An individual or family who has experienced or is currently experiencing homelessness.

Continuum of Care (CoC)
A community with a unified plan to organize and deliver housing and services to meet the specific needs of people who are homeless as they move to stable housing and maximize self-sufficiency. HUD funds many homeless programs and HMIS Implementations through Continuum of Care grants.

Coverage
A term commonly used by CoC’s or homeless providers. It refers to the number of beds represented in an HMIS divided by the total number of beds available.

Data Quality
The accuracy and completeness of all information collected and reported to the HMIS.

Data Standards
See HMIS Data and Technical Standards Final Notice.

De-identification
The process of removing or altering data in a client record that could be used to identify the person. This technique allows research, training, or other non-clinical applications to use real data without violating client privacy.

Digital Certificate
An attachment to an electronic message used for security purposes. The most common use of a digital certificate is to verify that a user sending a message is who he or she claims to be and to provide the receiver with the means to encode a reply.

Disabling Condition
A disabling condition in reference to chronic homelessness is defined by HUD as a diagnosable substance use disorder, serious mental illness, developmental disability, or chronic physical illness or disability, including the co-occurrence of two or more of these conditions. A disabling condition limits an individual’s ability to work or perform one or more activities of daily living.

Emergency Shelter
Any facility whose primary purpose is to provide temporary shelter for the homeless in general or for specific populations of the homeless.

Emergency Solutions Grant (ESG)
A federal grant program designed to help improve the quality of existing emergency shelters for the homeless, to make available additional shelters, to meet the costs of operating shelters, to provide essential social services to homeless individuals, and
to help prevent homelessness.

Encryption
Conversion of plain text into unreadable data by scrambling it using a code that masks the meaning of the data to any unauthorized viewer. Computers encrypt data by using algorithms or formulas. Encrypted data are not readable unless they are converted back into plain text via decryption.

Final Notice
See HMIS Data and Technical Standards Final Notice.

Hashing
The process of producing hashed values for accessing data or for security. A hashed value is a number or series of numbers generated from input data. The hash is generated by a formula in such a way that it is extremely unlikely that some other text will produce the same hash value or that data can be converted back to the original text. Hashing is often used to check whether two texts are identical. For the purposes of Homeless Management Information Systems, it can be used to compare whether client records contain the same information without identifying the clients.

HEARTH Act

Homeless Management Information System (HMIS)
Computerized data collection tool designed to capture client-level information over time on the characteristics and service needs of men, women, and children experiencing homelessness.

HMIS Data and Technical Standards Final Notice
Regulations issued by HUD via the Federal Register describing the requirements for implementing HMIS. The HMIS Final Notice contains rules about who needs to participate in HMIS, what data to collect, and how to protect client information.

Housing Inventory Chart (HIC). A calculation of the numbers of beds and housing units in a region on one particular night, usually coinciding with the annual Point-in-Time count.

Inferred Consent
Once clients receive an oral explanation of HMIS, consent is assumed for data entry into HMIS. The client must be a person of age, and in possession of all his/her faculties (for example, not mentally ill).

Informed Consent
A client is informed of options of participating in an HMIS system and then specifically asked to consent. The individual needs to be of age and in possession of all of his faculties (for example, not mentally ill), and his/her judgment not impaired at the time of consenting (by sleep, illness, intoxication, alcohol, drugs or other health problems, etc.).
Information and Referral
A process for obtaining information about programs and services available and linking individuals to these services. These services can include emergency food pantries, rental assistance, public health clinics, childcare resources, support groups, legal aid, and a variety of non-profit and governmental agencies. An HMIS usually includes features to facilitate information and referral.

McKinney-Vento Act
The McKinney-Vento Homeless Assistance Act was signed into law by President Ronald Reagan on July 22, 1987. The McKinney-Vento Act funds numerous programs providing a range of services to homeless people, including the Continuum of Care Programs: the Supportive Housing Program, the Shelter Plus Care Program, and the Single Room Occupancy Program, as well as the Emergency Solutions Grant Program.

Notice of Funding Availability (NOFA)
An announcement of funding available for a particular program or activity.

Penetration Testing
The process of probing a computer system with the goal of identifying security vulnerabilities in a network and the extent to which outside parties might exploit them.

Permanent Supportive Housing
Long term, community based housing that has supportive services for homeless persons with disabilities. This type of supportive housing enables special needs populations to live as independently as possible in a permanent setting. Permanent housing can be provided in one structure or in several structures at one site or in multiple structures at scattered sites.

Point in Time Count
A snapshot of the homeless population taken on a given day. Since 2005, HUD requires all CoC applicants to complete this count every other year in the last week of January. This count includes a street count in addition to a count of all clients in emergency and transitional beds.

Privacy Notice
A written, public statement of an agency’s privacy practices. A notice informs clients of how personal information is used and disclosed. According to the HMIS Data and Technical Standards, all covered homeless organizations must have a privacy notice.

Program-specific Data Elements
Data elements required for programs that receive funding under the McKinney-Vento Homeless Assistance Act and complete the Annual Performance Reports (APRs).
Public Keys
Public keys are included in digital certificates and contain information that a sender can use to encrypt information such that only a particular key can read it. The recipient can also verify the identity of the sender through the sender’s public key.

Scan Cards
Some communities use ID cards with bar codes to reduce intake time by electronically scanning ID cards to register clients in a bed for a night. These ID cards are commonly referred to as scan cards.

Single Room Occupancy (SRO)
A residential property that includes multiple single room dwelling units. Each unit is for occupancy by a single eligible individual. The unit need not, but may, contain food preparation or sanitary facilities, or both. It provides rental assistance on behalf of homeless individuals in connection with moderate rehabilitation of SRO dwellings.

Shelter Plus Care Program
A program that provides grants for rental assistance for homeless persons with disabilities through four component programs: Tenant, Sponsor, Project, and Single Room Occupancy (SRO) Rental Assistance.

Supportive Housing Program
A program that provides housing, including housing units and group quarters that has a supportive environment and includes a planned service component.

Supportive Services
Services that may assist homeless participants in the transition from the streets or shelters into permanent or permanent supportive housing, and that assist persons with living successfully in housing.

Transitional Housing
A project that has as its purpose facilitating the movement of homeless individuals and families to permanent housing within a reasonable amount of time (usually 24 months).

Unduplicated Count
The number of people who are homeless within a specified location and time period. An unduplicated count ensures that individuals are counted only once regardless of the number of times they entered or exited the homeless system or the number of programs in which they participated. Congress directed HUD to develop a strategy for data collection on homelessness so that an unduplicated count of the homeless at the local level could be produced.

Universal Data Elements
Data required to be collected from all clients serviced by homeless assistance programs using an HMIS. These data elements include date of birth, gender, race, ethnicity, veteran’s status, and Social Security Number (SSN). These elements are needed for CoCs to understand the basic dynamics of homelessness in their community and for HUD to meet the Congressional directive.
Written Consent

Written consent embodies the element of informed consent in a written form. A client completes and signs a form documenting the client’s understanding of the options and risks of participating or sharing data in an HMIS system and consenting to such participation and data sharing. The signed document is then kept on file at the agency.
Appendix B: License Management Protocol

The purpose of the protocol is to ensure data security from a possible data breach and unwanted actions of unauthorized users. This outlines assignment and revocation of user licenses that provides access to Chicago’s Homeless Management Information System (HMIS).

Access control to HMIS for users requires participation in the specific training designed to familiarize them with the ServicePoint site and to train them in the Chicago HMIS Workflow.

For New Users:

1) At the close of the New User Training, each user will be provided with a Username and a temporary Password.
2) It is anticipated that the new user will login in and begin using Service Point during the two week period following their training.
3) Failure to login within two weeks may result in the user account being “Inactivated”
4) Continued inactivity for a month, from the date of the training will result in license revocation. The user’s account will be “Deleted” and will no longer have access to the HMIS.

For Current Users:

1) If a current user has been inactive in the system for more than 120 days, (from last login) the user account will be “Inactivated”
2) Continued inactivity for more than 180 days will result in license revocation and the account being “Deleted”.

License Re-activation:

1) If the user’s HMIS account has been “Inactivated”, the user can send a request to the HMIS helpdesk to request reactivation.
2) If the user’s HMIS account has been “Deleted”, the user is required to attend training* before re-activation.

* Please note that trainings are subjected to availability and a user may have to wait a few weeks before being able to register again. There will be no priority for training scheduling.
Appendix C: HMIS End User Policy and Code of Ethics

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HMIS User Name and Title (Please Print)

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**USER POLICY**

Partner Agencies who use Chicago Homeless Management Information System (HMIS) and each User within any Partner Agency is bound by various restrictions regarding Protected Personal Information ("PPI"). The employee, contractor, or volunteer whose name appears above is the **User**.

It is a **Client's** decision about what level of PPI information is to be shared with any Partner Agencies.

The **Client Consent Form** for data sharing shall be signed by the Client before any PPI is designated for sharing with any Partner Agencies, or in the case of the Homelessness Prevention Call Center, verbal consent shall be obtained as described in the HMIS Standard Operating Procedure. The User shall ensure that prior to obtaining Client’s consent; the agency’s HMIS Notice of Privacy Practices was fully reviewed with Client in a manner to ensure that Client fully understood the information.

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**USER PRINCIPLES**

A User ID and Password gives you access to the Chicago HMIS. You must initial each item below to indicate your understanding and acceptance of the proper use of your ID and password. Failure to uphold the confidentiality standards set forth below is grounds for your immediate termination from HMIS.

(Initial each line below)

<table>
<thead>
<tr>
<th>I understand that I have an obligation to maintain Client privacy and to protect and safeguard the confidentiality of Client's PPI. PPI shall include, but not be limited to, the Client’s name, address, telephone number, social security number, type of medical care provided, medical condition or diagnosis, veteran status, employment information, and any and all other information relating to the Client’s programming.</th>
</tr>
</thead>
<tbody>
<tr>
<td>My User ID and Password are for my use only and must not be shared with anyone, including my supervisor(s). I must take all reasonable means to keep my Password physically secure.</td>
</tr>
<tr>
<td>I understand that the only individuals who can view information in the HMIS are authorized users who need the information for legitimate business purposes of this Agency and the Clients to whom the information pertains.</td>
</tr>
<tr>
<td>I may only view, obtain, disclose, or use information within the HMIS that is necessary to perform my job.</td>
</tr>
<tr>
<td>If I am logged into the HMIS and must leave the work area where the computer is located, I must secure the computer before leaving the work area.</td>
</tr>
<tr>
<td>Any hard copies of PPI printed from the HMIS must be kept in a secure file, and destroyed when no longer needed, in accordance with Agency’s records retention policy. I will not leave hard copies of PPI in public view including, but not limited to on desks, or on a photocopier, printer, or fax machine.</td>
</tr>
<tr>
<td>I will not discuss PPI with anyone in a public area.</td>
</tr>
<tr>
<td>I have reviewed the Agency's HMIS Notice of Privacy Practices and the HMIS Standard Operating Procedures, understand each of those documents, and agree to abide by them.</td>
</tr>
<tr>
<td>If I notice or suspect a security breach, I must immediately notify the Executive Director of the Agency and the HMIS System Administrator at <a href="mailto:hmis@thechicagoalliance.org">hmis@thechicagoalliance.org</a></td>
</tr>
<tr>
<td>I understand that any violation of this Agreement may also be considered a violation of my employment relationship with this Agency, and could result in disciplinary action, up to and including termination of my employment or affiliation with Agency, as well as potential personal civil and criminal legal fines and penalties.</td>
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**USER CODE OF ETHICS**

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1 Protected Personal Information is information about a client: (1) whose identity is apparent from the information or can reasonably be ascertained from the information; or (2) whose identity can be learned, taking into account any methods reasonably likely to be used, by linking the information with other available information or by otherwise manipulating the information.
A. Users must be prepared to answer Client questions regarding the HMIS.

B. Users must respect Client preferences with regard to the sharing of PPI within the HMIS. Users must accurately record Client's preferences by making the proper designations as to sharing of PPI and/or any restrictions on the sharing of PPI.

C. Users must allow Client to change his or her information sharing preferences at the Client's request (i.e., to revoke consent) (except if that policy is over-ridden by Agency policy or if the information is required to be shared as a condition of a provider agreement).

D. The User has primary responsibility for information entered by the User. Information Users enter must be truthful, accurate and complete to the best of User's knowledge.

E. Users will not solicit from or enter information about Clients into the HMIS unless the information is required for a legitimate business purpose such as to provide services to the Client.

F. Users will not include profanity or offensive language in the HMIS; nor will Users use the HMIS database for any violation of any law, to defraud any entity or conduct any illegal activity.

PASSWORD PROCEDURES
By signing this Agreement, the User agrees to the following:

Passwords are the User's responsibility and the User may not share passwords. They should be securely stored and inaccessible to other persons—including your supervisor(s). Passwords should never be stored or displayed in any publicly accessible location without the Alliance permission.

USER GRIEVANCE PROCEDURE
If a User has a grievance with this Code of Ethics, that User may send a written complaint to their HMIS Agency Technical Administrator (ATA). If the complaint is not resolved to the User's satisfaction, the User may send a written complaint to: Chicago Alliance to End Homelessness; 651, W. Washington, Suite 504, Chicago IL 60661

Attn: HMIS System Administrator.

I understand and agree to comply with the above User Policy, User Principles, User Responsibilities, Password Procedures, and User Grievance Procedure.
Appendix D: HMIS Interface Policy

This Policy outlines the responsibilities and defines compliance for Interface Agencies.

Agencies that have received approval prior to September 19, 2012 may continue to contribute data to HMIS as an interface agency and will be responsible for ensuring the timeliness, accuracy and assume all costs associated with data uploaded to the CoC’s designated HMIS.

Contributing HMIS Organizations (CHOs) will not receive authorization to transition from direct to interface data entry. It has been determined the quality and completeness of the HMIS will effectively be maintained through frequent and direct entry of data by the CHO’s.

**Standard:** Agencies participating in HMIS as interface agencies will sign an agreement with the HMIS Lead and provide their own technical support and funding for interface capabilities, and will ensure their data is transmitted in a manner that is timely, complete and accurate per CoC requirements.

**Procedures Pertaining to Interface Agencies:**

Agencies that upload data from an external database into the CoC’s HMIS will follow the steps outlined below:

1. Enter into a yearly agreement with the HMIS Lead Agency for technical support, charges incurred due to customization requests, licensing that allows uploading of the data and designate a staff who will oversee the uploading process.

2. The Agency Technical Administrator (ATA) or the interface designated staff must validate and test data uploads to ensure accuracy with the HMIS Software Provider before officially submitting data and monitor data uploads on a regular basis to ensure accuracy.

3. Periodically modify data import format as changes are made including, but not limited to the HUD Data Standards or CoC workflow changes.

4. Upload all required data at least monthly, or more often, if so instructed and required by the HMIS Lead, provided, however, the HMIS Lead may from time to time direct interface agencies to complete special supplementary uploads to ensure data completeness or to correct data problems, as described below.
Responsibilities of Interface Agency:

The Interface Agency is held financially responsible for ensuring all required data is uploaded in a timely and accurate manner, and the data is collected and handled in compliance with the HMIS established data privacy, data security, and data quality plans, and in compliance with HUD requirements and any other applicable laws or regulations.

The Interface agency will be held responsible for ensuring data is in the appropriate format. To the extent the HMIS Lead identifies data quality problems with the uploaded data, it will be the Interface Agency’s responsibility to address those data quality problems, including making any necessary corrections in the source data for a subsequent upload, within an agreed upon timeframe. Interface Agencies must upload data at least monthly, and should anticipate a requirement for more frequent uploads as the Continuum moves to implement the Coordinated Access and Assessment System required by HUD.

If the Interface Agency determines properly formatted data was not correctly uploaded into the HMIS, the Interface Agency should contact the HMIS Lead within a week following the upload to request help in addressing the problem and incur the appropriate charges, if any.

Compliance:

It is the responsibility of the Interface Agency to ensure compliance with all uploading and data quality requirements.

In general, for all HUD funded programs, lack of compliance with data quality requirements may result in forfeiting points in the HMIS section of the local HUD NOFA Evaluation Instrument, as determined annually by HMV. Similar negative impact may occur on DFSS evaluations and grants which require the use of HMIS reporting.

Expectations:

- Interface agencies as of receipt of the policy will have three months to start uploading data.
- The HMIS Lead will continue to oversee all communication between the HMIS Software Provider and the interface agency to ensure all upload requirements are being met.
- If for unforeseen reasons, the upload implementation extends beyond three months or if issues arise during important reporting periods (such as AHAR, CoC Competition etc.) it will be the agency’s responsibility to determine an alternative plan to ensure data is entered and corrected in the system to meet reporting deadlines and be in compliance.
- It will be the agency’s responsibility to incur all appropriate charges during the process.
SECTION 6

Version Control
**Policy in effect as of:** January 14, 2015

**VERSION CONTROL**

This document is to keep track of all changes made to this document:

<table>
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<tr>
<th>SOP Section #</th>
<th>Revised Section #</th>
<th>Revised Date:</th>
<th>Revised By:</th>
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A. Introduction and Applicability

This Notice describes the Privacy Policy of the City of Chicago Homeless Management Information System (“HMIS”). All Chicago, known as the HMIS Lead Agency (“HMIS Lead”), administers HMIS on behalf of Chicago Continuum of Care (“CoC”), and is governed by the CoC Board of Directors (“BoD”) through the “HMIS Committee”. The CoC is a local body comprised of various stakeholders invested in ending homelessness in Chicago, and may include but is not limited to: nonprofit homeless providers, victim service providers, faith based organizations, local government, businesses, advocates, public housing agencies, school district and city colleges, social service providers, mental health agencies, hospitals, universities, affordable housing developers, law enforcement, organizations that serve homeless and formerly homeless veterans including the Veterans Administration (VA), and homeless and formerly homeless persons and families.

Not all CoC stakeholders have direct access to HMIS. Throughout the CoC, there are certain agencies, usually the service provider agencies that are directly interacting with homeless clients, that actively use and contribute to the HMIS. Any agency with access to the HMIS is required to sign an Agency Partnership agreement and is known as a “participating agency”. All HMIS Lead personnel (including employees, volunteers, affiliates, contractors and associates), and all participating agencies and their personnel, are required to comply with this notice. Collectively, the HMIS Lead and all participating agencies make up the Chicago HMIS Collaborative (“Collaborative”, “we”, or “us”). All personnel in the Chicago HMIS Collaborative with access to HMIS must receive and acknowledge receipt of a copy of this Notice, agree in writing to comply with it, and receive training on this Privacy Policy before being given access to HMIS.

This Privacy Policy applies to all PII that is collected and maintained in the Chicago HMIS, including electronic and hard copies derived from the HMIS.

B. Purpose and Overview

To comply with federal, state, local, and funder requirements, information about you and your dependents that you provide, and the services that are provided, is required to be collected in the HMIS. When you seek assistance, it is assumed that you are consenting (“inferred consent”) to the use of the HMIS to store this information. You have the right to explicitly refuse the collection of this information, and participating agencies are not permitted to deny you services for this reason; however, this may severely impact the ability of any participating agency throughout the Collaborative to qualify you for certain types of assistance or to meet your needs.
Data collection should not be confused with data sharing ("disclosure", as defined in section D). Participating agencies are required to provide you with an opportunity to consent to certain disclosure of your information, either in writing or electronically. If you consent to the disclosure of your information, you enhance the ability of the Collaborative to assess your specific needs and to coordinate delivery of services to you.

In general:

- The privacy practices described in this Notice cover all your Personally Identifiable Information ("PII") that is collected in the Chicago HMIS. "PII" is defined any information maintained by or for a Covered Homeless Organization about a living homeless client or homeless individual that: (1) identifies, either directly or indirectly, a specific individual; (2) can be manipulated by a reasonably foreseeable method to identify a specific individual; or (3) can be linked with other available information to identify a specific individual.
- Federal law may require participating agencies to have their own agency-specific privacy policies. Information entered and accessed by the Collaborative may therefore also be covered by additional, agency-specific privacy policies. Participating agencies may be more restrictive in their privacy policies, but may not be less restrictive than this Privacy Policy. In accordance with federal law, all participating agencies are required to post a sign at their intake desks, offices, or website, if applicable, explaining the reasons information is requested.
- The CoC and the HMIS Lead reserve the right to amend this Privacy Policy at any time. It is possible that an amendment may affect PII that we obtained before the effective date of the amendment. We will maintain a record of the changes made in amendments and post new versions of this Privacy Policy on the website located at: https://hmis.allchicago.org/hc/en-us/categories/115000933426-Privacy-Policy-and-Client-Consent-Form. Any amendment will be posted as a draft at least 30 days prior to taking effect.
- Every adult client and emancipated minor must provide his or her consent before his or her information can be shared within the Collaborative.
  - Adults may not provide consent on behalf of other adults.
  - In the case of dependents under the age of 18, parental or guardian (if you consider yourself responsible) consent must be obtained. Minors (persons less than 18 years old) may not consent to share information and their information will not be shared except with the consent of a responsible family member.
  - In the case of our telephone hotline, verbal consent to share your information is acceptable but only for purposes of referring you to a participating agency in the Collaborative.
- The Collaborative strives to collect only information that is relevant to the purposes described in Part C. below. To the extent necessary for those purposes, we seek to maintain only information that is accurate, complete, and timely. We may implement a plan to dispose of information not in current use six years after the information was created or last changed. As an alternative to disposal, we may choose to remove identifiers from the information so that the data can be maintained for analysis purposes.

Services are provided to any person or family regardless of age, gender, religion, disability, nationality, sexual orientation and race, ethnic or cultural group.
C. How and Why the Chicago HMIS Collaborative collects your PII

In addition to obtaining information directly from persons seeking services from participating agencies, participating agencies may also obtain information about those seeking services from:

- Other individuals who are accompanying a person seeking services, such as a guardian, caretaker, or advocate;
- Referring organizations and/or service providers;
- Law enforcement entities.

The Collaborative collects and maintains PII for the following purposes:

- To provide or coordinate services for you;
- To locate other programs that may be able to assist you;
- For functions related to payment or reimbursement for services provided by or on behalf of the Chicago HMIS Collaborative;
- To carry out administrative functions, including legal, audit, personnel, oversight, contract monitoring, program evaluation, and other management functions;
- To comply with government and funder reporting obligations;
- For data analysis, and community reporting purposes, including reporting to the Chicago CoC to inform policy decisions;
- For academic research and
- When required by law.

D. Use and disclosure of your PII

For purposes of this Notice, the terms “use” and “disclosure” are defined as follows:

i. “Use” means, with respect to PII, the sharing, employment, application, utilization, examination, or analysis of such information internally within the HMIS participating agency that maintains such information or within the HMIS Lead.

ii. “Disclosure” means, with respect to PII, the release, sharing, transfer, provision of access to, or divulging of information to an organization outside the HMIS participating agency holding the information or outside the HMIS Lead.

1. Your PII may be used or disclosed with your consent for the following reasons:

- To provide or coordinate services for you and your family to help you end your homelessness. Participating agencies may use or disclose your information to locate suitable services or housing, to conduct referrals and assessments, to determine program eligibility, and to otherwise collaborate to address your specific needs and circumstances. Such uses and disclosures may include but not be limited to uses and disclosures within the HMIS system among participating agencies that have access to the HMIS system and uses and disclosures at conference meetings for the purposes of finding and/or coordinating services for an individual.
2. Your PII may be used or disclosed without your consent for the following reasons:
   • For functions related to payment or reimbursement for services provided by or on behalf of the Collaborative;
   • To carry out administrative functions, such as legal, audit, personnel, oversight, contract monitoring, program evaluation, and other management functions;
   • To carry out maintenance and operation of the Chicago HMIS;
   • To create reports for the CoC that include your data but only in a manner in which your identity is not disclosed (this type of data is sometimes referred to as “anonymized” or “de-identified” data);
   • By the HMIS Lead; provided that the HMIS Lead enters into a Data Sharing Agreement with the party to which such information will be disclosed that provides reasonable confidentiality protections for the disclosed information;
   • When required by law to the extent that use or disclosure complies with and is limited to the requirements of the law;
   • To avert a serious threat to health or safety if:
     i. It is believed in good faith that the use or disclosure is necessary to prevent or lessen a serious and imminent threat to the health or safety of an individual or the public, and
     ii. The use or disclosure is made to a person reasonably able to prevent or lessen the threat, including the target of the threat.
   • To report about an individual who is believed to be a victim of abuse, neglect, or domestic violence to a governmental authority (including a social service or protective services agency) authorized by law to receive reports of abuse, neglect or domestic violence, under any of the following circumstances:
     i. Where the disclosure is required by law and the disclosure complies with and is limited to the requirements of the law;
     ii. If the individual agrees to the disclosure; or
     iii. To the extent that the disclosure is expressly authorized by statute or regulation; and it is believed the disclosure is necessary to prevent serious harm to the individual or other potential victims; or if the individual is unable to agree because of incapacity, a law enforcement or other public official authorized to receive the report represents that the PPI for which disclosure is sought is not intended to be used against the individual and that an immediate enforcement activity that depends upon the disclosure would be materially and adversely affected by waiting until the individual is able to agree to the disclosure.
   A participating agency that makes a permitted disclosure about victims of abuse, neglect or domestic violence must promptly inform the individual that a disclosure has been or will be made, except if:
     (a) The participating agency, in the exercise of professional judgment, believes informing the individual would place the individual at risk of serious harm; or
     (b) The participating agency would be informing a personal representative (such as a family member or friend), and the participating agency reasonably believes the personal representative is responsible for the abuse, neglect or other injury, and that informing the personal representative would not be in the best interests of the individual as determined by the participating agency, in the exercise of professional judgment.
   • To a law enforcement official for a law enforcement purpose (if consistent with applicable law and standards of ethical conduct) under any of the following circumstances:
i. In response to a lawful court order, court-ordered warrant, subpoena or summons issued by a judicial officer, or a grand jury subpoena.

ii. If the law enforcement official makes a written request that:
   1. Is signed by a supervisory official of the law enforcement agency seeking the information; and
   2. States that the information is relevant and material to a legitimate law enforcement investigation; and
   3. Identifies the specific information sought; and
   4. Is specific and limited in scope to the extent that is reasonably practical, considering the purpose for which the information is sought; and
   5. States that de-identified (anonimized) information could not be used to accomplish the purpose of the disclosure.

iii. If it is necessary to report criminal conduct that occurred on the premises of the agency where the services are provided.

iv. In response to an oral request for the purpose of identifying or locating a suspect, fugitive, material witness or missing person and the PPI disclosed consists only of name, address, date of birth, place of birth, Social Security Number, and distinguishing physical characteristics; or

v. If (1) the official is an authorized federal official seeking personally identifiable information for the provision of protective services to the President or other persons authorized by 18 U.S.C. 3056, or to foreign heads of state or other persons authorized by 22 U.S.C. 2709(a)(3), or for the conduct of investigations authorized by 18 U.S.C. 871 and 879 (threats against the President and others); and (2) the information requested is specific and limited in scope to the extent reasonably practicable in light of the purpose for which the information is sought.

• For **academic research purposes**, release of your personally identifiable information will be allowed, only if the research is:
   i. Conducted by an individual or institution that has a formal relationship with a participating agency in the Chicago HMIS Collaborative if the research is to be conducted by either:
      1. an *individual* employed by or affiliated with the organization for use in a research project conducted under a written research agreement approved in writing by an Agency Executive (other than the individual conducting the research); or
      2. an *institution* for use in a research project conducted under a written research agreement approved in writing by the Agency’s Executive;

   and

   ii. The formal relationship is defined in a written research agreement that:
      1. establishes rules and limitations for the processing and security of PII during the research;
      2. provides for the return or proper disposal of all PII at the conclusion of the research;
      3. restricts additional use or disclosure of PII, except where required by law; and
      4. requires that each recipient of PII formally agrees to comply with all terms and conditions of the agreement; and
      5. specifies that only aggregate data will appear in any publication or research report, and that no PII will be released by the researcher.
Please note that the Chicago HMIS Collaborative requires an academic researcher/research organization to obtain approval from an Institutional Review Board, Privacy Board or other applicable human subjects protection institution, prior to any release of data. (A written research agreement that complies with all the requirements listed above does not constitute a substitute for approval from one of these institutions.)

E. Your Rights

Obtain an electronic version or paper copy of your information/Ask to correct or amend your information

- You have the right to inspect and obtain a copy of your information for as long as it is kept in the HMIS, except for case notes and for information compiled in reasonable anticipation of, or for use in, a legal proceeding.
- You have the right to request correction of your information in the HMIS if your information is inaccurate or incomplete. If agreed that the information is inaccurate or incomplete, it may be corrected or supplemented with additional information.
  i. The participating agency that you are working with must respond to your request within a reasonable time frame (up to 5 business days).
- Your request for inspection or to obtain a copy of PII may be denied if:
  i. the information was compiled in reasonable anticipation of litigation or comparable proceedings;
  ii. the information is about another individual;
  iii. the information was obtained under a promise of confidentiality and the disclosure would reveal the source of the information; or
  iv. disclosure of the information would be reasonably likely to endanger the life or physical safety of any individual.

Requests method of communication
- You can request us to contact you in a specific way. We will make every effort to honor your request and communicate with you in a familiar language and use communication technology to address any difficulties in hearing and sight.

Obtain a list
- You can request a list of participating agencies in the Chicago HMIS Collaborative. This list will also be posted on the Chicago CoC website, www.allchicago.org.

Obtain a copy of this Privacy Notice
- You can request a paper copy of this Notice at any time. A copy of the Notice will always be made available on the Chicago CoC website and by the Collaborative and will never be denied.

Request to revoke your information from being shared
- As described in this Notice, we need your written consent to disclose your information within the Collaborative. You have the right to revoke your consent and request that your information not be shared at any time. Please note that for the purposes mentioned in Section D(2) we are not required to agree to your request.
F. File a Complaint if you feel your rights are violated:

Protecting your information is important to us. If you feel we have violated your rights, we need to know. We will not retaliate against you for filing a complaint.

- You may file a complaint with the Agency you are working with, following their procedures that are in place.
- You may also file a complaint with the HMIS Lead at: All Chicago Making Homelessness History, 651 W. Washington, Ste 504, IL 60661, by sending an email to hmis@allchicago.org, or by calling (773)599-3822.
Thank you for submitting a question via the HUD Exchange. The response to your question is listed below.

**Requestor Name:** Elizabeth Perez

**Requestor Email:** eperez@allchicago.org

**Question Related To:** Homelessness Data Exchange (including PIT, HIC, AHAR, Sys PM, and PDX)

**Question ID:** 117782

**Question Subject:**

Unable to submit

**Question Text:**

Hello

I was trying to submit my data for the PIT HIC but all i got was that it was validating but never successfully submitted. Can you please submit. I was trying to enter it 10 minutes before 7pm.

**Response:**

Hi Elizabeth,

Your HIC and PIT data must have gone through, both are showing up as having been submitted on time.

*The response provided in this email is specific to the question you submitted and may not apply to similar questions. Therefore, please use discretion in providing the response to others, as the answer may not apply to their particular situations.*

Please click on the [View Question] button below to perform the following actions:

- **View your question**, answer, and any applicable attachments
- **Ask a new, unrelated question** using the same requestor information
- **Reopen this question** if you need more assistance with the same question

This email account (aaq@hudexchange.info) does not have the ability to reply to emails. Please DO NOT REPLY to this email address, as all messages sent to this address will not be responded to. Please direct any inquiries regarding HUD Exchange or its Ask A Question
system to info@hudexchange.info or ask another question using the "View Question" link located above. Please keep this email for your records.
## 2018 HDX Competition Report

**PIT Count Data for IL-510 - Chicago CoC**

### Total Population PIT Count Data

<table>
<thead>
<tr>
<th></th>
<th>2016 PIT</th>
<th>2017 PIT</th>
<th>2018 PIT</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Sheltered and Unsheltered Count</td>
<td>5889</td>
<td>5657</td>
<td>5450</td>
</tr>
<tr>
<td>Emergency Shelter Total</td>
<td>1470</td>
<td>1,368</td>
<td>3,111</td>
</tr>
<tr>
<td>Safe Haven Total</td>
<td>39</td>
<td>40</td>
<td>41</td>
</tr>
<tr>
<td>Transitional Housing Total</td>
<td>3137</td>
<td>2,688</td>
<td>941</td>
</tr>
<tr>
<td>Total Sheltered Count</td>
<td>4646</td>
<td>4096</td>
<td>4093</td>
</tr>
<tr>
<td>Total Unsheltered Count</td>
<td>1243</td>
<td>1561</td>
<td>1357</td>
</tr>
</tbody>
</table>

### Chronically Homeless PIT Counts

<table>
<thead>
<tr>
<th></th>
<th>2016 PIT</th>
<th>2017 PIT</th>
<th>2018 PIT</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Sheltered and Unsheltered Count of Chronically Homeless Persons</td>
<td>343</td>
<td>863</td>
<td>971</td>
</tr>
<tr>
<td>Sheltered Count of Chronically Homeless Persons</td>
<td>110</td>
<td>291</td>
<td>436</td>
</tr>
<tr>
<td>Unsheltered Count of Chronically Homeless Persons</td>
<td>233</td>
<td>572</td>
<td>535</td>
</tr>
</tbody>
</table>
**Homeless Households with Children PIT Counts**

<table>
<thead>
<tr>
<th></th>
<th>2016 PIT</th>
<th>2017 PIT</th>
<th>2018 PIT</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Sheltered and Unsheltered Count of the Number of Homeless Households with Children</td>
<td>663</td>
<td>571</td>
<td>561</td>
</tr>
<tr>
<td>Sheltered Count of Homeless Households with Children</td>
<td>661</td>
<td>570</td>
<td>558</td>
</tr>
<tr>
<td>Unsheltered Count of Homeless Households with Children</td>
<td>2</td>
<td>1</td>
<td>3</td>
</tr>
</tbody>
</table>

**Homeless Veteran PIT Counts**

<table>
<thead>
<tr>
<th></th>
<th>2011</th>
<th>2016</th>
<th>2017</th>
<th>2018</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Sheltered and Unsheltered Count of the Number of Homeless Veterans</td>
<td>500</td>
<td>601</td>
<td>528</td>
<td>494</td>
</tr>
<tr>
<td>Sheltered Count of Homeless Veterans</td>
<td>250</td>
<td>399</td>
<td>283</td>
<td>296</td>
</tr>
<tr>
<td>Unsheltered Count of Homeless Veterans</td>
<td>250</td>
<td>202</td>
<td>245</td>
<td>198</td>
</tr>
</tbody>
</table>
## HMIS Bed Coverage Rate

<table>
<thead>
<tr>
<th>Project Type</th>
<th>Total Beds in 2018 HIC</th>
<th>Total Beds in 2018 HIC Dedicated for DV</th>
<th>Total Beds in HMIS</th>
<th>HMIS Bed Coverage Rate</th>
</tr>
</thead>
<tbody>
<tr>
<td>Emergency Shelter (ES) Beds</td>
<td>3788</td>
<td>161</td>
<td>3579</td>
<td>98.68%</td>
</tr>
<tr>
<td>Safe Haven (SH) Beds</td>
<td>41</td>
<td>0</td>
<td>41</td>
<td>100.00%</td>
</tr>
<tr>
<td>Transitional Housing (TH) Beds</td>
<td>1391</td>
<td>122</td>
<td>1072</td>
<td>84.48%</td>
</tr>
<tr>
<td>Rapid Re-Housing (RRH) Beds</td>
<td>1121</td>
<td>0</td>
<td>1092</td>
<td>97.41%</td>
</tr>
<tr>
<td>Permanent Supportive Housing (PSH) Beds</td>
<td>10255</td>
<td>0</td>
<td>6822</td>
<td>66.52%</td>
</tr>
<tr>
<td>Other Permanent Housing (OPH) Beds</td>
<td>257</td>
<td>0</td>
<td>257</td>
<td>100.00%</td>
</tr>
<tr>
<td>Total Beds</td>
<td>16,853</td>
<td>283</td>
<td>12863</td>
<td>77.63%</td>
</tr>
</tbody>
</table>
### PSH Beds Dedicated to Persons Experiencing Chronic Homelessness

<table>
<thead>
<tr>
<th>Chronically Homeless Bed Counts</th>
<th>2016 HIC</th>
<th>2017 HIC</th>
<th>2018 HIC</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of CoC Program and non-CoC Program funded PSH beds dedicated for use by chronically homeless persons identified on the HIC</td>
<td>2448</td>
<td>2476</td>
<td>2623</td>
</tr>
</tbody>
</table>

### Rapid Rehousing (RRH) Units Dedicated to Persons in Household with Children

<table>
<thead>
<tr>
<th>Households with Children</th>
<th>2016 HIC</th>
<th>2017 HIC</th>
<th>2018 HIC</th>
</tr>
</thead>
<tbody>
<tr>
<td>RRH units available to serve families on the HIC</td>
<td>124</td>
<td>211</td>
<td>276</td>
</tr>
</tbody>
</table>

### Rapid Rehousing Beds Dedicated to All Persons

<table>
<thead>
<tr>
<th>All Household Types</th>
<th>2016 HIC</th>
<th>2017 HIC</th>
<th>2018 HIC</th>
</tr>
</thead>
<tbody>
<tr>
<td>RRH beds available to serve all populations on the HIC</td>
<td>595</td>
<td>1107</td>
<td>1121</td>
</tr>
</tbody>
</table>
Summary Report for IL-510 - Chicago CoC

For each measure enter results in each table from the System Performance Measures report generated out of your CoCs HMIS System. There are seven performance measures. Each measure may have one or more “metrics” used to measure the system performance. Click through each tab above to enter FY2017 data for each measure and associated metrics.

RESUBMITTING FY2017 DATA: If you provided revised FY2017 data, the original FY2017 submissions will be displayed for reference on each of the following screens, but will not be retained for analysis or review by HUD.

ERRORS AND WARNINGS: If data are uploaded that creates selected fatal errors, the HDX will prevent the CoC from submitting the System Performance Measures report. The CoC will need to review and correct the original HMIS data and generate a new HMIS report for submission.

Some validation checks will result in warnings that require explanation, but will not prevent submission. Users should enter a note of explanation for each validation warning received. To enter a note of explanation, move the cursor over the data entry field and click on the note box. Enter a note of explanation and “save” before closing.

Measure 1: Length of Time Persons Remain Homeless

This measures the number of clients active in the report date range across ES, SH (Metric 1.1) and then ES, SH and TH (Metric 1.2) along with their average and median length of time homeless. This includes time homeless during the report date range as well as prior to the report start date, going back no further than October, 1, 2012.

Metric 1.1: Change in the average and median length of time persons are homeless in ES and SH projects.
Metric 1.2: Change in the average and median length of time persons are homeless in ES, SH, and TH projects.

a. This measure is of the client's entry, exit, and bed night dates strictly as entered in the HMIS system.
b. This measure is based on data element 3.17.

This measure includes data from each client’s Living Situation (Data Standards element 3.917) response as well as time spent in permanent housing projects between Project Start and Housing Move-In. This information is added to the client’s entry date, effectively extending the client’s entry date backward in time. This “adjusted entry date” is then used in the calculations just as if it were the client’s actual entry date.

The construction of this measure changed, per HUD’s specifications, between FY 2016 and FY 2017. HUD is aware that this may impact the change between these two years.
Measure 2: The Extent to which Persons who Exit Homelessness to Permanent Housing Destinations Return to Homelessness

This measures clients who exited SO, ES, TH, SH or PH to a permanent housing destination in the date range two years prior to the report date range. Of those clients, the measure reports on how many of them returned to homelessness as indicated in the HMIS for up to two years after their initial exit.

After entering data, please review and confirm your entries and totals. Some HMIS reports may not list the project types in exactly the same order as they are displayed below.

<table>
<thead>
<tr>
<th>Exit was from SO</th>
<th>Total # of Persons who Exited to a Permanent Housing Destination (2 Years Prior)</th>
<th>Returns to Homelessness in Less than 6 Months</th>
<th>Returns to Homelessness from 6 to 12 Months</th>
<th>Returns to Homelessness from 13 to 24 Months</th>
<th>Number of Returns in 2 Years</th>
</tr>
</thead>
<tbody>
<tr>
<td>Revised FY 2016</td>
<td>FY 2017</td>
<td>Revised FY 2016</td>
<td>FY 2017</td>
<td>% of Returns</td>
<td>Revised FY 2016</td>
</tr>
<tr>
<td>Exit was from SO</td>
<td>184</td>
<td>18</td>
<td>10%</td>
<td>9</td>
<td>5%</td>
</tr>
<tr>
<td>Exit was from ES</td>
<td>2577</td>
<td>396</td>
<td>15%</td>
<td>150</td>
<td>6%</td>
</tr>
<tr>
<td>Exit was from TH</td>
<td>1211</td>
<td>144</td>
<td>12%</td>
<td>75</td>
<td>6%</td>
</tr>
<tr>
<td>Exit was from SH</td>
<td>2</td>
<td>1</td>
<td>50%</td>
<td>0</td>
<td>0%</td>
</tr>
<tr>
<td>Exit was from PH</td>
<td>1878</td>
<td>102</td>
<td>5%</td>
<td>90</td>
<td>5%</td>
</tr>
<tr>
<td>TOTAL Returns to Homelessness</td>
<td>5852</td>
<td>661</td>
<td>11%</td>
<td>324</td>
<td>6%</td>
</tr>
</tbody>
</table>

Measure 3: Number of Homeless Persons

Metric 3.1 – Change in PIT Counts
## 2018 HDX Competition Report

**FY2017 - Performance Measurement Module (Sys PM)**

This measures the change in PIT counts of sheltered and unsheltered homeless person as reported on the PIT (not from HMIS).

<table>
<thead>
<tr>
<th>Metric 3.1 – Change in PIT Counts</th>
<th>January 2016 PIT Count</th>
<th>January 2017 PIT Count</th>
<th>Difference</th>
</tr>
</thead>
<tbody>
<tr>
<td>Universe: Total PIT Count of sheltered and unsheltered persons</td>
<td>5889</td>
<td>5657</td>
<td>-232</td>
</tr>
<tr>
<td>Emergency Shelter Total</td>
<td>1470</td>
<td>1368</td>
<td>-102</td>
</tr>
<tr>
<td>Safe Haven Total</td>
<td>39</td>
<td>40</td>
<td>1</td>
</tr>
<tr>
<td>Transitional Housing Total</td>
<td>3137</td>
<td>2688</td>
<td>-449</td>
</tr>
<tr>
<td>Total Sheltered Count</td>
<td>4646</td>
<td>4096</td>
<td>-550</td>
</tr>
<tr>
<td>Unsheltered Count</td>
<td>1243</td>
<td>1561</td>
<td>318</td>
</tr>
</tbody>
</table>

**Metric 3.2 – Change in Annual Counts**

This measures the change in annual counts of sheltered homeless persons in HMIS.

<table>
<thead>
<tr>
<th>Metric 3.2 – Change in Annual Counts</th>
<th>Submitted FY 2016</th>
<th>Revised FY 2016</th>
<th>FY 2017</th>
<th>Difference</th>
</tr>
</thead>
<tbody>
<tr>
<td>Universe: Unduplicated Total sheltered homeless persons</td>
<td>18725</td>
<td>19253</td>
<td>528</td>
<td></td>
</tr>
<tr>
<td>Emergency Shelter Total</td>
<td>16617</td>
<td>17282</td>
<td>665</td>
<td></td>
</tr>
<tr>
<td>Safe Haven Total</td>
<td>49</td>
<td>44</td>
<td>-5</td>
<td></td>
</tr>
<tr>
<td>Transitional Housing Total</td>
<td>2760</td>
<td>2655</td>
<td>-105</td>
<td></td>
</tr>
</tbody>
</table>
Measure 4: Employment and Income Growth for Homeless Persons in CoC Program-funded Projects

Metric 4.1 – Change in earned income for adult system stayers during the reporting period

<table>
<thead>
<tr>
<th></th>
<th>Submitted FY 2016</th>
<th>Revised FY 2016</th>
<th>FY 2017</th>
<th>Difference</th>
</tr>
</thead>
<tbody>
<tr>
<td>Universe: Number of adults (system stayers)</td>
<td>4012</td>
<td>3895</td>
<td>-117</td>
<td></td>
</tr>
<tr>
<td>Number of adults with increased earned income</td>
<td>203</td>
<td>193</td>
<td>-10</td>
<td></td>
</tr>
<tr>
<td>Percentage of adults who increased earned income</td>
<td>5%</td>
<td>5%</td>
<td>0%</td>
<td></td>
</tr>
</tbody>
</table>

Metric 4.2 – Change in non-employment cash income for adult system stayers during the reporting period

<table>
<thead>
<tr>
<th></th>
<th>Submitted FY 2016</th>
<th>Revised FY 2016</th>
<th>FY 2017</th>
<th>Difference</th>
</tr>
</thead>
<tbody>
<tr>
<td>Universe: Number of adults (system stayers)</td>
<td>4012</td>
<td>3895</td>
<td>-117</td>
<td></td>
</tr>
<tr>
<td>Number of adults with increased non-employment cash income</td>
<td>828</td>
<td>1154</td>
<td>326</td>
<td></td>
</tr>
<tr>
<td>Percentage of adults who increased non-employment cash income</td>
<td>21%</td>
<td>30%</td>
<td>9%</td>
<td></td>
</tr>
</tbody>
</table>

Metric 4.3 – Change in total income for adult system stayers during the reporting period

<table>
<thead>
<tr>
<th></th>
<th>Submitted FY 2016</th>
<th>Revised FY 2016</th>
<th>FY 2017</th>
<th>Difference</th>
</tr>
</thead>
<tbody>
<tr>
<td>Universe: Number of adults (system stayers)</td>
<td>4012</td>
<td>3895</td>
<td>-117</td>
<td></td>
</tr>
<tr>
<td>Number of adults with increased total income</td>
<td>976</td>
<td>1322</td>
<td>346</td>
<td></td>
</tr>
<tr>
<td>Percentage of adults who increased total income</td>
<td>24%</td>
<td>34%</td>
<td>10%</td>
<td></td>
</tr>
</tbody>
</table>
## Metric 4.4 – Change in earned income for adult system leavers

<table>
<thead>
<tr>
<th></th>
<th>Submitted FY 2016</th>
<th>Revised FY 2016</th>
<th>FY 2017</th>
<th>Difference</th>
</tr>
</thead>
<tbody>
<tr>
<td>Universe: Number of adults who exited (system leavers)</td>
<td>1608</td>
<td>1511</td>
<td></td>
<td>-97</td>
</tr>
<tr>
<td>Number of adults who exited with increased earned income</td>
<td>324</td>
<td>248</td>
<td></td>
<td>-76</td>
</tr>
<tr>
<td>Percentage of adults who increased earned income</td>
<td>20%</td>
<td>16%</td>
<td></td>
<td>-4%</td>
</tr>
</tbody>
</table>

## Metric 4.5 – Change in non-employment cash income for adult system leavers

<table>
<thead>
<tr>
<th></th>
<th>Submitted FY 2016</th>
<th>Revised FY 2016</th>
<th>FY 2017</th>
<th>Difference</th>
</tr>
</thead>
<tbody>
<tr>
<td>Universe: Number of adults who exited (system leavers)</td>
<td>1608</td>
<td>1511</td>
<td></td>
<td>-97</td>
</tr>
<tr>
<td>Number of adults who exited with increased non-employment cash income</td>
<td>364</td>
<td>336</td>
<td></td>
<td>-28</td>
</tr>
<tr>
<td>Percentage of adults who increased non-employment cash income</td>
<td>23%</td>
<td>22%</td>
<td></td>
<td>-1%</td>
</tr>
</tbody>
</table>

## Metric 4.6 – Change in total income for adult system leavers

<table>
<thead>
<tr>
<th></th>
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<th>Revised FY 2016</th>
<th>FY 2017</th>
<th>Difference</th>
</tr>
</thead>
<tbody>
<tr>
<td>Universe: Number of adults who exited (system leavers)</td>
<td>1608</td>
<td>1511</td>
<td></td>
<td>-97</td>
</tr>
<tr>
<td>Number of adults who exited with increased total income</td>
<td>634</td>
<td>553</td>
<td></td>
<td>-81</td>
</tr>
<tr>
<td>Percentage of adults who increased total income</td>
<td>39%</td>
<td>37%</td>
<td></td>
<td>-2%</td>
</tr>
</tbody>
</table>
2018 HDX Competition Report
FY2017 - Performance Measurement Module (Sys PM)

Measure 5: Number of persons who become homeless for the 1st time

Metric 5.1 – Change in the number of persons entering ES, SH, and TH projects with no prior enrollments in HMIS

<table>
<thead>
<tr>
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<th>Revised FY 2016</th>
<th>FY 2017</th>
<th>Difference</th>
</tr>
</thead>
<tbody>
<tr>
<td>Universe: Person with entries into ES, SH or TH during the reporting period.</td>
<td>18190</td>
<td>18301</td>
<td>111</td>
<td></td>
</tr>
<tr>
<td>Of persons above, count those who were in ES, SH, TH or any PH within 24 months prior to their entry during the reporting year.</td>
<td>5214</td>
<td>5862</td>
<td>648</td>
<td></td>
</tr>
<tr>
<td>Of persons above, count those who did not have entries in ES, SH, TH or PH in the previous 24 months. (i.e. Number of persons experiencing homelessness for the first time)</td>
<td>12976</td>
<td>12439</td>
<td>-537</td>
<td></td>
</tr>
</tbody>
</table>

Metric 5.2 – Change in the number of persons entering ES, SH, TH, and PH projects with no prior enrollments in HMIS

<table>
<thead>
<tr>
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<th>FY 2017</th>
<th>Difference</th>
</tr>
</thead>
<tbody>
<tr>
<td>Universe: Person with entries into ES, SH, TH or PH during the reporting period.</td>
<td>20051</td>
<td>19887</td>
<td>-164</td>
<td></td>
</tr>
<tr>
<td>Of persons above, count those who were in ES, SH, TH or any PH within 24 months prior to their entry during the reporting year.</td>
<td>5863</td>
<td>6681</td>
<td>818</td>
<td></td>
</tr>
<tr>
<td>Of persons above, count those who did not have entries in ES, SH, TH or PH in the previous 24 months. (i.e. Number of persons experiencing homelessness for the first time.)</td>
<td>14188</td>
<td>13206</td>
<td>-982</td>
<td></td>
</tr>
</tbody>
</table>
Measure 6: Homeless Prevention and Housing Placement of Persons defined by category 3 of HUD’s Homeless Definition in CoC Program-funded Projects

This Measure is not applicable to CoCs in FY2017 (Oct 1, 2016 - Sept 30, 2017) reporting period.

Measure 7: Successful Placement from Street Outreach and Successful Placement in or Retention of Permanent Housing

Metric 7a.1 – Change in exits to permanent housing destinations

<table>
<thead>
<tr>
<th></th>
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<th>Difference</th>
</tr>
</thead>
<tbody>
<tr>
<td>Universe: Persons who exit Street Outreach</td>
<td>1661</td>
<td>1838</td>
<td></td>
<td>177</td>
</tr>
<tr>
<td>Of persons above, those who exited to temporary &amp; some institutional destinations</td>
<td>503</td>
<td>703</td>
<td></td>
<td>200</td>
</tr>
<tr>
<td>Of the persons above, those who exited to permanent housing destinations</td>
<td>312</td>
<td>388</td>
<td></td>
<td>76</td>
</tr>
<tr>
<td>% Successful exits</td>
<td>49%</td>
<td>59%</td>
<td></td>
<td>10%</td>
</tr>
</tbody>
</table>

Metric 7b.1 – Change in exits to permanent housing destinations
### Metric 7b.2 – Change in exit to or retention of permanent housing

<table>
<thead>
<tr>
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</tr>
</thead>
<tbody>
<tr>
<td><strong>Universe: Persons in ES, SH, TH and PH-RRH who exited, plus persons in other PH projects who exited without moving into housing</strong></td>
<td>15273</td>
<td>14303</td>
<td>-970</td>
<td></td>
</tr>
<tr>
<td><strong>Of the persons above, those who exited to permanent housing destinations</strong></td>
<td>3869</td>
<td>3763</td>
<td>-106</td>
<td></td>
</tr>
<tr>
<td><strong>% Successful exits</strong></td>
<td>25%</td>
<td>26%</td>
<td>1%</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
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</tr>
</thead>
<tbody>
<tr>
<td><strong>Universe: Persons in all PH projects except PH-RRH</strong></td>
<td>6656</td>
<td>6924</td>
<td>268</td>
<td></td>
</tr>
<tr>
<td><strong>Of persons above, those who remained in applicable PH projects and those who exited to permanent housing destinations</strong></td>
<td>6446</td>
<td>6716</td>
<td>270</td>
<td></td>
</tr>
<tr>
<td><strong>% Successful exits/retention</strong></td>
<td>97%</td>
<td>97%</td>
<td>0%</td>
<td></td>
</tr>
</tbody>
</table>
This is a new tab for FY 2016 submissions only. Submission must be performed manually (data cannot be uploaded). Data coverage and quality will allow HUD to better interpret your Sys PM submissions.

Your bed coverage data has been imported from the HIC module. The remainder of the data quality points should be pulled from data quality reports made available by your vendor according to the specifications provided in the HMIS Standard Reporting Terminology Glossary. You may need to run multiple reports into order to get data for each combination of year and project type.

You may enter a note about any field if you wish to provide an explanation about your data quality results. This is not required.
# 2018 HDX Competition Report

## FY2017 - SysPM Data Quality

<table>
<thead>
<tr>
<th></th>
<th>All ES, SH</th>
<th>All TH</th>
<th>All PSH, OPH</th>
<th>All RRH</th>
<th>All Street Outreach</th>
</tr>
</thead>
<tbody>
<tr>
<td>--------------------------------</td>
<td>------------</td>
<td>---------</td>
<td>--------------</td>
<td>---------</td>
<td>---------------------</td>
</tr>
<tr>
<td>1. Number of non-DV Beds on HIC</td>
<td>2012</td>
<td>1673</td>
<td>1713</td>
<td>1906</td>
<td>3716</td>
</tr>
<tr>
<td>2. Number of HMIS Beds</td>
<td>1098</td>
<td>900</td>
<td>1674</td>
<td>1871</td>
<td>3556</td>
</tr>
<tr>
<td>3. HMIS Participation Rate from HIC ( % )</td>
<td>54.57</td>
<td>53.80</td>
<td>97.72</td>
<td>98.16</td>
<td>95.69</td>
</tr>
<tr>
<td>4. Unduplicated Persons Served (HMIS)</td>
<td>9860</td>
<td>11841</td>
<td>14460</td>
<td>13760</td>
<td>3199</td>
</tr>
<tr>
<td></td>
<td>145</td>
<td>130</td>
<td>130</td>
<td>244</td>
<td>103</td>
</tr>
<tr>
<td>5. Total Leavers (HMIS)</td>
<td>7171</td>
<td>8599</td>
<td>11368</td>
<td>10880</td>
<td>2251</td>
</tr>
<tr>
<td></td>
<td>103</td>
<td>59</td>
<td>56</td>
<td>158</td>
<td>41</td>
</tr>
<tr>
<td>6. Destination of Don't Know, Refused, or Missing (HMIS)</td>
<td>3856</td>
<td>4087</td>
<td>7305</td>
<td>6543</td>
<td>229</td>
</tr>
<tr>
<td>7. Destination Error Rate (%)</td>
<td>53.77</td>
<td>47.53</td>
<td>64.26</td>
<td>60.14</td>
<td>10.17</td>
</tr>
</tbody>
</table>
## Date of PIT Count

| Date CoC Conducted 2018 PIT Count | 1/25/2018 |

## Report Submission Date in HDX

<table>
<thead>
<tr>
<th>Submitted On</th>
<th>Met Deadline</th>
</tr>
</thead>
<tbody>
<tr>
<td>2018 PIT Count Submittal Date</td>
<td>4/30/2018</td>
</tr>
<tr>
<td>2018 HIC Count Submittal Date</td>
<td>4/30/2018</td>
</tr>
<tr>
<td>2017 System PM Submittal Date</td>
<td>5/31/2018</td>
</tr>
</tbody>
</table>
Thank you for submitting a question via the HUD Exchange. The response to your question is listed below.

**Requestor Name:** Elizabeth Perez

**Requestor Email:** eperez@allchicago.org

**Question Related To:** Homelessness Data Exchange (including PIT, HIC, AHAR, Sys PM, and PDX)

**Question ID:** 117782

**Question Subject:** Unable to submit

**Question Text:**

Hello

I was trying to submit my data for the PIT HIC but all i got was that it was validating but never successfully submitted. Can you please submit. I was trying to enter it 10 minutes before 7pm.

**Response:**

Hi Elizabeth,

Your HIC and PIT data must have gone through, both are showing up as having been submitted on time.

*The response provided in this email is specific to the question you submitted and may not apply to similar questions. Therefore, please use discretion in providing the response to others, as the answer may not apply to their particular situations.*

Please click on the [View Question] button below to perform the following actions:

- [View your question](#), answer, and any applicable attachments
- [Ask a new, unrelated question](#) using the same requestor information
- [Reopen this question](#) if you need more assistance with the same question

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