

**NYC Coalition on the Continuum of Care
2018
Evaluation Process**

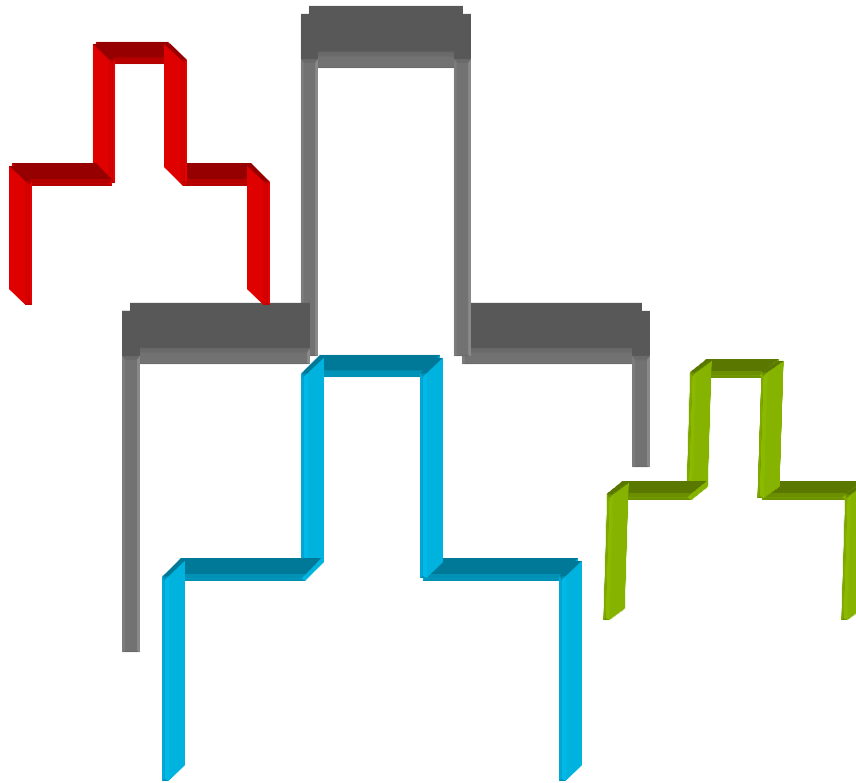


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I. Introduction

Each year, HUD releases a Notice of Funding Availability (NOFA), which details the requirements for applying for Continuum of Care (CoC) program funding. One requirement of the NOFA is that every project application is reviewed and ranked by community stakeholders in order of local priority. In New York City, the NYC Coalition on the Continuum of Care (NYC CCoC) Steering Committee is the decision-making body. The Evaluation Committee, formed by the Steering Committee, is responsible for annually reviewing and revising the Continuum of Care’s evaluation process and criteria that in part determines the NOFA project ranking. The NYC Department of Social Services (DSS) on behalf of the Department of Homeless Services (DHS) serves as the coordinator of this evaluation process.

In anticipation of the FY2018 NOFA, the NYC CCoC is issuing evaluation criteria to be used as part of the 2018

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NOFA ranking process. This document outlines the requirements related to the evaluation process. To ensure that our Continuum NOFA application is competitive and fully funded, the NYC CCoC reserves the right to amend these requirements and/or issue additional requirements as needed and in response to criteria issued in the FY2018 HUD NOFA.

II. Highlights for the 2018 Evaluation Process

The goal of the evaluation is to demonstrate the effectiveness of the CoC programming and help identify potential areas of improvement. Results from the evaluation will contribute to the CoC competitive application and identify lower performing programs that could benefit from Performance & Quality Improvement (PQI) technical assistance.

This year the evaluation process will use the citywide HMIS Data Warehouse as the primary source of our data. In order to ensure data accuracy, for the 2018 Evaluation DSS will complete the evaluation form using the information from the HMIS Data Warehouse, where it can. Providers will also complete an online survey for questions not captured in the HMIS Data Warehouse. As a reminder, we have switched to the federal fiscal year for most questions, except for the question on spend-down. Projects will be responsible for submitting accurate information in the online survey and providing back up documentation. Documentation can include their official APR when available or a summary report from their agency database.

The data in the HMIS Data Warehouse will be used in the Evaluation. If agency data conflicts with the data in the HMIS Data Warehouse, it will be the agency's responsibility to update the HMIS Data Warehouse.

Changes:

For the 2018 Evaluation, we have changed the scoring to be out of 100 points for permanent supportive housing (PSH) programs. Transitional housing (TH) programs are out of 95 points and rapid rehousing (RRH) programs are out of 80 points. This will allow for a greater range of scoring within each question and increase the overall point spread. In 2017, the questions on chronic homelessness, literal homelessness, and health insurance were unscored. In the 2018 evaluation these questions will be scored. We are adding newly scored questions for Exit Destination, Data Quality, Quarterly Spend Down, and SOAR Training. We are creating a new unscored question for Administrative Spend Down.

III. Evaluation Review Process

All projects that plan to submit a renewal application in the 2018 NOFA, that were in operation for at least one (1) year, and completed and submitted a SAGE APR for their project will be included in the evaluation process. Projects not renewed in the 2017 NOFA do not have to complete the evaluation process. Any project that feels that they should be exempt from the evaluation process should contact their DSS representative by Friday, February 16, 2018 to confirm an exemption.

The following outlines key steps and aspects of the 2018 project evaluation process:

1. Evaluation Process Information Sessions

- **Session 1: Thursday, February 1st, 2018 (4 WTC, Conference Room 31-A, 9:30am – 11am)**
- **Session 2: Friday, February 2nd, 2018 (4 WTC, Conference Room 31-A, 11am-12:30pm)**
- **Session 3: Monday, February 5th, 2018 (4 WTC, Conference Room 31-A, 10am-11:30pm)**
- **Session 4: Monday, February 5th, 2018 (4 WTC, Conference Room 31-A, 3pm-4:30pm)**

Details for the information sessions will be emailed to the CoC distribution list and the NOFA contacts, and will be posted on www.nychomeless.com. Attendance at one (1) of **these sessions is mandatory**.

2. Due Date, Documentation, and Time Frame

- The Evaluation will be available starting Monday, February 5th, 2018 and is due to DSS by Close-of-

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Business (COB) Friday, March 2nd, 2018. Back up documentation is due on the same day, Friday, March 2, 2018. This year all contracts will use the *federal fiscal year of 10/1/2016 to 9/30/2017* to answer designated questions. All programs will also submit to DSS their most recent SAGE APR by Friday, March 2, 2018. Failure to submit the APR with the online survey by the deadline will result in deduction and or disqualification from the evaluation process.

3. Tool Completion

- DSS will use the HMIS data warehouse to score questions 1 through 11.
- Projects will complete the online survey tool for questions not captured in the HMIS data warehouse and may ask for a calendar year and/or other timeframes. There will also be three questions on the survey to support project-level data quality checks.
- Score calculations that result in decimal points .5 and over will be rounded up to the next whole number. Score calculations that result in decimal points less than .5 will be rounded down to the previous whole number.
- DSS will communicate the **preliminary evaluation** results on Friday, March 23rd, 2018. Final results will be posted on the NYC CCoC website and individual project results will be sent via email. A general notification will go out via the NYC CCoC distribution list.
- **Data Adjustment Period:** During the project review process please talk with your DSS representative if any of the scores appear to be incorrect. Agencies may to submit technical corrections to DSS during the Data Adjustment Period to correct any identified issues. Providers who make adjustments during this period have until Friday, March 30, 2018 to upload corrected data to the HMIS Data Warehouse. Only agencies who have notified DSS that they have updated their HMIS data will be given new scores on, or before, Friday, April 6, 2018.

4. Appeals process:

- The intent of the Appeals Committee is to review systemic and/or policy related issues. It is not an opportunity to fix incorrectly submitted data, or to revisit the evaluation standards adopted by the Steering Committee. The Appeals Committee will not consider appeals based on missing data, incorrectly entered in HMIS, or based on disagreements with the adopted evaluation standards.
- Projects wishing to appeal must submit the appeal form on page 10 of this document to DSS no later than Monday, April 16th, 2018
- An Ad Hoc Appeals Committee will be convened to review the appeals and communicate their final decisions by Monday, April 30th, 2018
- Applicants disputing appeals decisions may appeal to the CCoC Steering Committee. Steering Committee decisions are final.
- **The final score list will be released on Friday, May 4th, 2018.**

5. Results:

- **Results of the evaluation will be released Friday, May 4th, 2018**
- **Projects** rated as “low” performer or that do not achieve the applicable housing outcome goal or any other specific performance minimums established by the Steering Committee may be subject to the PQI process, possible submission of a PQI corrective action plan, and ongoing review/monitoring.
- These scores, in conjunction with other CCoC priorities, will be used to determine the final project ranking, as applicable, for the HUD Collaborative Application (NOFA).

6. Exemptions

- There are currently no standing exemptions to **any questions** in the tool for any project type.

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IV. 2018 NYC CCoC Evaluation Process Timeline

Activity	Deadline
Discuss Recommended Changes to 2018 Evaluation Process	September 2017 – December 2017
Approve 2018 Evaluation Tool at Steering Committee Meeting	December 19, 2017
Evaluation Information Sessions	February 1 st , 2 nd , & 5 th , 2018
Evaluation Online Survey Opens for Data Collection	February 5 th , 2018
Online Evaluation Survey Due with verification materials (back-up documentation to survey and consumer participation materials)	March 2 nd , 2018
Preliminary Results	March 23 rd , 2018
Data Adjustments (Provider and DSS) (Opportunity for providers to make data corrections in HMIS and inform DSS that changes have been made and/or alert DSS to errors)	March 30 th , 2018
Updated Preliminary Results (applies only if Data Adjustments made)	April 6 th , 2018
Appeals of Evaluation Results Due	April 16 th , 2018
Program Notified on Status of Appeals	April 30 th , 2018
Final Evaluation Results	May 4 th , 2018

Note: If timeline above changes, Providers will be given notice and time to adjust. Changes will push back the timeline, not move it up.

V. Project Evaluation Methodology

The ranking for programs with identical overall scores will be decided through a review of the value achieved starting with the following indicators:

1. Spend down of HUD funds
2. Utilization
3. Housing stabilization
4. Earned income indicators
5. Rental Assistance or Leasing contracts over contracts without Rental Assistance or Leasing
6. Average score from the evaluation tool over the last three years (average higher rank equals higher rank this year).

In the unlikely event that there is still a tie, the Evaluation Committee along with the CCoC Co-Chairs will decide on a tie breaking measure based on CoC priorities, with an eye toward the HUD Collaborative Application (NOFA). The tiebreakers will be applied to the bottom 25% of projects. Programs with identical scores in the top 75% will be ranked alphabetically.

VI. Specific Instructions and Data Source

Where the source is listed as APR, the data source will consist of **New APR data for the federal fiscal year, 10/1/2016 to 9/30/2017**. Question 2: Chronic Homelessness for newly admitted clients, Question 3: Head of Household Literal Homelessness, Question 13: Quarterly Drawn Downs, and Question 15: SOAR Training will come from the provider's client information. Question 8: Health Insurance and Question 10: Exit to Permanent Housing will come from the New APR.

Question 1 - Unit Utilization: APR question 7 or 8 for programs serving individuals or for programs serving families (will average the PIT utilization rates.)

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Question 2 - Chronically Homeless: Projects will look in HMIS to determine how many new households entered the Permanent Housing program for the federal fiscal year, 10/1/2016 to 9/30/2017. Projects will provide DSS with verification of chronic status entered into the HMIS or compatible data base system. Acceptable forms of documentation include a print out of aggregate level results for project eligibility. This year the question is scored so that you get 5 points for admitting 100% chronically homeless households or 0 points for not admitting 100% chronically homeless households. If no households have entered during the above time period, projects will not be scored and receive full points for this question.

* McKinney-Vento Act Definition of Chronically Homeless:

(1) A “homeless individual with a disability,” as defined in section 401(9) of the McKinney-Vento Homeless Assistance Act (42 U.S.C. 11360(9)), who:

(i) Lives in a place not meant for human habitation, a safe haven, or in an emergency shelter;

and (ii) Has been homeless and living as described in paragraph (1)(i) of this definition continuously for at least 12 months or on at least 4 separate occasions in the last 3 years, as long as the combined occasions equal at least 12 months and each break in homelessness separating the occasions included at least 7 consecutive nights of not living as described in paragraph (1)(i). Stays in institutional care facilities for fewer than 90 days will not constitute as a break in homelessness, but rather such stays are included in the 12-month total, as long as the individual was living or residing in a place not meant for human habitation, a safe haven, or an emergency shelter immediately before entering the institutional care facility;

(2) An individual who has been residing in an institutional care facility, including a jail, substance abuse or mental health treatment facility, hospital, or other similar facility, for fewer than 90 days and met all of the criteria in paragraph (1) of this definition, before entering that facility;

or (3) A family with an adult head of household (or if there is no adult in the family, a minor head of household) who meets all of the criteria in paragraph (1) or (2) of this definition, including a family whose composition has fluctuated while the head of household has been homeless.

<https://www.gpo.gov/fdsys/pkg/FR-2015-12-04/pdf/2015-30473.pdf>

Question 3 - Literally Homeless: Projects will calculate this from HMIS using the Admission Date to determine if participants fall in the timeframe. Project will use ‘Residence Prior to Program Entry’ and ‘Length of Stay at Previous Place’ (if they came from an institutional setting). **Projects will provide DSS with verification of project eligibility entered into the HMIS or compatible data base system.** Acceptable forms of documentation include a print out of aggregate level results for project eligibility. Projects will look at admissions since January 2012. However, the score will be based current residents living in the program during FFY17. The expectation is that all persons in the HUC CoC funded project are literally homeless. This year the question is scored. Programs will be awarded 5 points for admitting 100% literally homeless households or 0 points for not admitting 100% literally homeless households since 2012. If no households have entered during the above time period, projects will not be scored on this question and receive full points.

Question 4 - Average Length of Stay: Project will calculate this from New APR question 22 (average for leavers * # of leavers) + (average for stayers * # of stayers) / total number of persons.

Questions 5 - Other Income: Project will calculate this from New APR question 19a3. This question is calculated on all adults in the program.

Question 6 - Earned Income: Project will calculate this from New APR question 19a3. This question is calculated on all adults in the program.

Question 7 - Non Cash Benefits: Project will calculate this from New APR question 20b. This question is calculated on all adults in the program.

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Question 8 - Health Insurance: Project will calculate this from New APR question 21. This question was not scored last year.

Question 9a, b, and c - Maintain or exit to permanent housing (TH)
or **Maintain permanent housing or exit to permanent housing (PSH)**
or **Maintain permanent housing to exit to permanent housing (RRH)**

The data for these questions will come from the New APR questions 5 (for the number of stayers), 23a (for the number of leavers who stayed more than 90 days), and 23b (for the number of leavers who stayed 90 days or less). HUD has now excluded persons who are deceased from the calculation. People who exit to one of four Institutional Settings (foster care home or foster care group home; hospital or other residential non-psychiatric medical facility; residential project or halfway house with no homeless criteria; and long-term care facility or nursing home) are excluded from the calculation by the APR. HUD has decided that these destination types can only be determined on a case by case basis to be positive or not. If an agency wants a person who has one of these destination types to be included in the calculation for their agency, please provide DSS with documentation during the initial review process demonstrating why this destination should be considered to be a positive outcome.

Question 10 - Exit to Permanent Housing for PSH and RRH: This question is new to this year's Evaluation and matches the question in the New APR that asks only about exit destinations. The data for this question will come from the New APR question 23a (for the number of leavers who stayed more than 90 days) and 23b (for the number of leavers who stayed 90 days or less). People who exit to one of four Institutional Settings (foster care home or foster care group home; hospital or other residential non-psychiatric medical facility; residential project or halfway house with no homeless criteria; and long-term care facility or nursing home) are excluded from the calculation by the APR. HUD has decided that these destination types can only be determined on a case by case basis to be positive or not. If an agency wants a person who has one of these destination types to be included in the calculation for their agency, please provide DSS with documentation during the initial review process demonstrating why this destination should be considered to be a positive outcome. If nobody exited the program during the year then the program will receive full points for this question.

Question 11 - Data Quality: This question is new to this year's Evaluation using the Data Quality question in the New APR. Questions 6a, 6b, 6c, and 6d in the New APR show the percent of records in the APR with errors.

- For 6a the scored percent will come from the Overall Score % of Error Rate.
- For 6b the scored percent will come from adding the % of Error Rate for the five items (Veteran Status, Project Start Date, Relationship to Head of Household, Client Location, and Disabling Condition) and dividing by five (5).
- For 6c the scored percent will come from adding the % of Error Rate for the four items (Destination, Income and Sources at Start, Income and Sources at Annual Assessment, and Income and Sources at Exit) and dividing by four (4).
- For 6d the scored percent will come from the Total % of Records Unable to Calculate

Question 12 - Spend-down of HUD Funds: This information will be gathered from the Imported Grant Information section for the APR in SAGE. Newly funded programs or programs that recently reallocated funds will not be scored on the Spend-down of HUD funding question. The scores for these projects will be adjusted to account for this exemption by taking the number of points received as a percent of total points available under the other categories. If a project reallocated funds in 2016, they will also not be scored on this question.

Question 13 - Spend-down of Administrative HUD Funds: This is a new, unscored question for this year. This information will be gathered from the Imported Grant Information section for the APR in SAGE.

Question 14 - Quarterly draw down: Project drew down at least quarterly after receiving contract. This is a Yes/No question on the Survey Monkey tool.

Question 15 - SOAR Training: Staff have completed SOAR training within the last 24 months. This is a Yes/No question on the Survey Monkey tool.

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Question 16 - Consumer Participation: The question was expanded this year to include a question about having a homeless or formerly homeless person on the Board of Directors and a question noting that information about the CoC has been presented to the Board of Directors. Complete the form on page 11 and include in your survey response or in an email to DSS (nycccoc@hra.nyc.gov) by Friday, March 2, 2018. Please also provide a copy of the minutes from a consumer/tenant meeting. Note, agency personnel should answer the questions about having a survey and grievance policy, not a consumer.

Question 17 - Submit Documentation: Providers must submit either through the survey or by email all required documentation to DSS by the due date.

Question 18 - HMIS Uploads: Providers are expected to upload to the HMIS Data Warehouse 12 times in the calendar year and therefore no points will be given for this question. However, starting this year, points will be deducted for failure to upload 12 times. Providers that have uploaded 11 times will have 2.5 points deducted from their score. Providers that have uploaded 10 times or fewer will have 5 points deducted from their score. Providers should submit in writing, along with any supporting documentation (e.g. email correspondence with DSS, Foothold Technologies, HUD), any explanations demonstrating valid justification for being unable to upload their data on a monthly basis to the HMIS Data Warehouse. This should be done as part of the Evaluation, not during the appeals process.

Question 19: Provider must attend a DSS training to complete the evaluation tool. Providers that do not attend a training session will have 5 points deducted from their score.

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VII. Score Table Summary

		PH	TH	RRH
1	Unit Utilization	15	15	0
2	Chronically Homeless	5	0	0
3	Project Eligibility	5	5	5
4	Average Length of Stay	7	7	7
5	Gained or Increased other Income	9	9	9
6	Gained or Increased Employment Income	9	9	9
7	Non-Case Benefits	9	9	9
8	Health Insurance	7	7	7
9	Maintain or Exit to Permanent Housing	10	14	10
10	Exit to Permanent Housing	4	0	4
11	Data Quality	4	4	4
12	Spend Down	8	8	8
13	Administrative Spend Down	0	0	0
14	Quarterly Draw Down	1	1	1
15	SOAR Training	1	1	1
16	Consumer Participation	6	6	6
	Total Maximum Points	100	95	80
	Possible Deduction items			
15	Supplemental Documentation*	0 or -10	0 or -10	0 or -10
16	HMIS Uploads	Range 0 to -5	Range 0 to -5	Range 0 to -5
17	Training	0 or -5	0 or -5	0 or -5

*DEDUCTIONS WILL BE TAKEN IF ANY SUPPLEMENTAL DOCUMENTATION IS NOT SUBMITTED ON TIME – Friday, March 2nd, 2018 (including the most recent APR and Q16 documents).

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VIII. Technical Assistance and Contact Information

For additional questions related to the 2018 NYC CCoC evaluation process, deadlines, and applications, please contact:

Contact Name	Phone Number	Email	Portfolio Coverage
Aleida Valentin	929-221-6184	valentina@hra.nyc.gov	Agencies L-Z
Merih Anil	929-221-6181	anilm@hra.nyc.gov	Agencies A-K

For all questions related to **Rental Assistance** projects, applicants should contact their government agency sponsor.

Sponsor Government Agency	Contact Name	Phone Number	Email
NYC Department of Housing Preservation and Development	Alyson Zkmund	212-863-8006	zikmunda@hpd.nyc.gov
NYS Office of Mental Health	Caren Abate	212-330-6367	caren.abate@omh.ny.gov

If you have specific questions regarding HUD project guidelines, you may contact the local HUD field office representatives listed below. Please do not contact the HUD office regarding our local application deadlines or process as Continuum staff is available to answer those questions.

IX. 2018 NYC CCoC Evaluation Process: Appeals Form

This form must be completed and sent to DSS (nyccoc@hra.nyc.gov) by noon (12pm) on 4/16/2018

How to Appeal: If you appeal your score, please write a few short sentences describing what you are appealing and attach evidence demonstrating why you think that the appeal should be granted. For example, if your appeal involves information from your data system (such as AWARDS), please submit a copy of the page from your data system.

Name of Agency: _____

Program Name: _____

Program Address: _____

Part I

Question (Measurement and Source/Score) being appealed and why.

Question: _____

Explanation:

Question (Measurement and Source/Score) being appealed and why.

Question: _____

Explanation:

Question (Measurement and Source/Score) being appealed and why.

Question: _____

Explanation:

Part II

Executive Director / Other Executive Name: _____

Signature: _____ Date: _____

Attachments:

X. Question 16 – Consumer Participation

This form must be completed and sent to DSS (nycccoc@hra.nyc.gov) by noon (12pm) on Friday, March 2nd, 2018

Name of Agency: _____

Program Name: _____

1. Does the program have a client/tenant grievance policy? yes no
2. Has information about the CoC been presented to the Board of Directors in the last year yes no
3. Does the agency have a homeless or formerly homeless person on it Board of Directors yes no
4. Does the program survey consumers/residents and/or complete documented interviews with current consumers at least annually to obtain feedback on program service quality, the service/housing environment, and opportunities for improvement? yes no
5. A copy of the minutes from the most recent consumer/tenant meeting attached. yes no
6. I certify that the above information accurately represents this program's consumer involvement practices.

Consumer Participant Signature

I certify that the above information accurately represents this program's consumer involvement practices.

Program Officer Signature

Attachments: