

TX-601 Monitoring & Technical Assistance Handbook

Tarrant County Homeless Coalition

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Contents

<u>Purpose</u>	1
<u>CoC Programs</u>	
<u>Performance Reports</u>	3
<u>Midterm Performance Review</u>	4
<u>Annual Performance Reports (APR)</u>	6
<u>Additional Information</u>	7
<u>ESG Programs</u>	
<u>Performance Measures</u>	10
<u>Quarterly Performance Review</u>	11
<u>HMIS</u>	
<u>HMIS Data Quality Reports</u>	13
<u>HMIS Annual Review</u>	14
<u>HMIS Documentation Requirements</u>	16
<u>Contact Information</u>	18
<u>Agency Information</u>	19

Purpose

TX-601 has selected Tarrant County Homeless Coalition (TCHC) as the HUD recognized lead agency, collaborative applicant, and Homeless Management Information System (HMIS) administrator within the Fort Worth/Arlington/Tarrant County Continuum of Care Program – TX-601. The geographical area includes both Tarrant and Parker Counties.

The TX-601 CoC embraces a culture of performance improvement. It is our belief that evaluation, monitoring, and coaching hold the key to successfully ending homelessness locally and beyond. Evaluation and monitoring allows our community to make results-based decisions while looking at ways to improve current programming for the vulnerable persons we serve. It also allows our community to quickly and appropriately respond to challenges and opportunities that may arise in our efforts to end homelessness. With these efforts, the CoC board hopes to facilitate communication, collaboration, and improvement throughout the continuum.

As the continuum's collaborative applicant, TCHC is responsible for program monitoring, evaluation, and reporting to measure the Continuum of Care's (CoC) progress in meeting local and HUD CoC Program Grant goals and objectives toward ending homelessness. TCHC is also the Emergency Solutions Grant (ESG) coordinator for the local competition of the Texas Department of Housing and Community Affairs (TDHCA) ESG funding. TCHC is responsible for monitoring ESG-funded program progress.

The purpose of this handbook is to provide a clear understanding of the roles and responsibilities that TCHC and all grant recipients play in not only meeting monitoring guidelines as laid out in the [TX-601 Continuum of Care Guidelines, Policies & Procedures Manual](#), but also in planning and providing the best services to the individuals and families we serve.

Continuum of Care Programs

Performance Reports

Quarterly reporting of local performance targets will be published on the TCHC website according to the timeline seen below. These reports will be reviewed by the CoC board as well as the public and will be used to measure the progress of all projects in meeting the annual performance goals established by the CoC.

Performance Period	Publishing Month
January - March	April
April - June	July
July – September	October
October – December	January

To provide a complete picture of how well our community is preventing and ending homelessness, the following measures will be collected for each quarterly report:

- Length of time persons remain homeless
- Total number of persons who return to homelessness after exiting to permanent housing destinations
- Total number of persons experiencing homelessness
- Employment and income growth for persons enrolled in CoC-funded projects
- Total number of persons experiencing homelessness for the first time
- Successful housing placement or retention of permanent housing

These measures are also provided to HUD annually through the System Performance Report.

Midterm Performance Review

TCHC will provide midterm program review of CoC projects to measure recipient progress in achieving project goals established in the initial program application. The review will be performed for all CoC projects after the completion of the first six months of a program year. The midterm review will provide data and an opportunity for organizations to analyze and create strategies for improvement for the remainder of the program year.

Procedures

The TCHC Planning Department will email the designated contact person within two weeks after completion of the first six months of the program year to schedule an onsite visit. The onsite visit may include:

- A review of the program Annual Performance Report (APR) to date to include data quality
- A review of project goals as determined in initial application
- A review of documentation to be provided to TCHC as referenced on p. 7
- A review of the organization's CoC participation
- An open dialogue, technical assistance, and an opportunity for organizations to ask learning questions to stimulate growth and performance improvement

A midterm project progress report will be generated to provide timely, specific feedback based on performance observation. The progress report will include 1) Progress in achieving project goals 2) Contributions to meeting CoC level performance goals and activities 3) Progress in grant spending to date and 4) A review of 6 month APR. Areas of concern or areas needing to improve may include grant spending to date, missing data elements within HMIS, inconsistent data, or significant shortfalls in performance targets. This report will be sent to the designated contact person.

TX-601 MIDTERM PROGRESS REPORT										
Recipient Name: _____	Project Name: _____									
Project Dates: _____	Grant Amount: _____									
HUD APR Due Date: _____										
Project Goals 	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 50%;">Overall Performance</th> <th style="width: 50%;">Notes</th> </tr> </thead> <tbody> <tr> <td>Excellent</td> <td></td> </tr> <tr> <td>Good</td> <td></td> </tr> <tr> <td>Needs Improvement</td> <td></td> </tr> </tbody> </table>	Overall Performance	Notes	Excellent		Good		Needs Improvement		
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Contributions to CoC Performance Goals 	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 50%;">Overall Performance</th> <th style="width: 50%;">Notes</th> </tr> </thead> <tbody> <tr> <td>Excellent</td> <td></td> </tr> <tr> <td>Good</td> <td></td> </tr> <tr> <td>Needs Improvement</td> <td></td> </tr> </tbody> </table>	Overall Performance	Notes	Excellent		Good		Needs Improvement		
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Technical assistance will be provided upon request of the recipient organization or as needed determined by TCHC. Technical assistance may include:

- Coaching to clarify objectives and discover more effective approaches to achieving those objectives
- Review of roles for accurate enrollment and exit documentation
- Supplemental HMIS training

Annual Performance Reports (APR)

The APR is used by HUD to track the progress and accomplishments of the projects they fund. The APR is also used in the development of annual project performance score cards and measuring CoC-wide achievements.

All CoC Program recipients are required to complete an APR in the [Sage HMIS Reporting Repository](#) within 90 days from the operating year end date.

Procedures

TCHC will work with each CoC recipient during the preparation of their APR to ensure timely submission and provide technical assistance as needed.

- The TCHC Planning Department will email the designated contact person within one week of the program year end date with a validation report of items to be adjusted by the grant recipient. Initial contact will also include a confirmation of APR due date. Examples of items included in the validation report include missing or inconsistent data.
- CoC recipients will be responsible for contacting TCHC Planning Department with any issues with data correction so that technical assistance can be provided. To ensure timely submission, requests for assistance should be made at least 30 days prior to the HUD due date.
- The TCHC Planning Department will conduct a final review no later than the first week in the month of the HUD submission deadline to ensure necessary corrections have been made for successful Sage CSV upload.

HUD has provided the [CoC APR Guidebook](#), which provides steps for APR submission through the Sage HMIS Reporting Repository. TCHC has created a [companion document](#) that provides a step-by-step look at submitting an APR beginning with ETO and homelessdata.com and ending in Sage. Additional SAGE training can be requested through the TCHC Planning Department.

Additional Information

Documentation Requirements

Once documents have been received from HUD, all CoC grant recipients are required to provide the following documents to TCHC for official planning files. These documents are used to make system updates in HMIS and to provide programmatic reporting and evaluation.

- Original eSnaps Application
- Final eSNAPs C1.9a Technical Submission
- Match Documentation
- Award Letter and Grant Agreement
- Documentation of Grant Amendments (if applicable)
- General Communications with HUD (if applicable)
- Quarterly report on eLOCCS drawdowns of CoC program funds
- Final HUD approved APR
- Close-Out Letters

Additional documentation may be requested as needed.

Actions Against Poor Performance

CoC program recipients may be subject to having their projects reduced in whole or in part and reallocated to other projects during the Community Projects Review Committee (CPRC) local competition renewal process as allowed in the HUD Notice of Funding Availability (NOFA) if they:

- Do not meet local and/or HUD Performance targets **OR**
- Do not meet expectations and compliance of program and grant management of their CoC programs as documented in
 - the CoC Score Card **AND/OR**
 - monitoring and evaluation reports

For more information about the CRPC and the funding decision process see the [TX-601 Continuum of Care Guidelines, Policies & Procedures Manual](#).

Emergency Solutions Grant Programs

Performance Measures

The CoC Board of Directors, through consultation with Emergency Solutions Grant (ESG) recipients, are responsible for approving ESG performance metrics within the first quarter of the calendar year. The chart below shows the approved 2017 ESG Performance Measures.

TX-601 Emergency Solutions Grant Performance Measures

Activity	Output / Outcome	Data Collection Required
1) Street Outreach	Number of Persons: A. Total Unduplicated Served B. Total Unduplicated Engaged	Pulled From: A. CAPER Q6b B. CAPER Q9b
	Of those receiving Case management, Number of Persons: A. Those placed in temporary housing destinations B. Those placed in permanent housing destinations	Pulled From: A. CAPER Q23a B. CAPER Q23a
2) Emergency Shelter Operations	Number of Persons: A. Total Unduplicated Served B. Total Unduplicated Receiving Case Management	Pulled From: A. CAPER Q6b B. Custom Report
	Of those receiving Case Management, Number of Persons: A. Those exiting ES to temporary or permanent housing destinations B. Those who have more non-cash benefits at exit that at entry	Pulled From: A. CAPER Q23a B. CAPER 20a
3) Homeless Prevention	Number of Persons: A. Total Unduplicated Served	Pulled From: A. CAPER Q6b
	Of those receiving Case Management, Number of Persons: A. Those able to maintain housing at exit B. Those who have more non-cash benefits at exit that at entry	Pulled From: A. CAPER Q23b B. CAPER Q20a
4) Rapid Re-Housing	Number of Persons: A. Total Unduplicated Served	Pulled From: A. CAPER Q6b
	Of those receiving Case Management, Number of Persons: A. Those who exited to or maintained permanent housing at exit B. Those who have more non-cash benefits at exit than at entry C. Those who have more cash income at exit than at entry	Pulled From: A. CAPER Q23a B. CAPER Q20a C. Custom Report
5) Coordinated Entry System: <i>Proposed Future Measure</i>	A. 100% of RRH enrollments come from CES B. 90% of CES referrals must be accepted by housing providers C. The average length of time between referral to lease up is less than 60 days.	Pulled From: CES Reporting Metrics under development, estimated roll out 2017

Quarterly Performance Review

Quarterly progress reports will be provided to ESG recipients and funders based on the CoC Performance Measures. These reports should be used to guide organizations to successfully meet performance outcomes as identified in their individual contracts with ESG funders.

Additionally, Quarterly Data Quality Scorecards will be provided to ESG recipients and funders. The scorecard will be generated through Homelesdata.com to identify issues with data in HMIS which may affect reports such as the Consolidated Annual Performance and Evaluation Report (CAPER).

All ESG quarterly reporting will be based on the ESG contract years.

Consequences

Each ESG funder can decrease or eliminate funding based on criteria set in their individual contracts. Jurisdictions that receive ESG funding determine consequences.

ESG Documentation Requirements

ESG recipients are required to provide the CoC with a copy of the following documents upon contract execution for official CoC files. All documents will be used to assist in performance review. When applicable, funders may provide these on behalf of the recipients.

- Executed Contracts (within ten business days of execution)
- Finalized Budgets
- Finalized Performance Outcomes
- Termination Policy

Homeless Management Information System

HMIS Data Quality Reports

The Homeless Management Information System (HMIS) serves as the main source for data collection throughout the CoC. The HMIS department works to ensure positive data quality and accuracy. While not all data elements can be collected for all clients due to individual circumstances, every agency should make efforts to obtain as complete information as possible. Information on data fields and elements are included on the CoC's [HMIS Data Quality Standards](#) document. For additional questions/concerns contact the TCHC [HMIS Help Desk](#).

Monthly Reports

Monthly reports will be run for all programs that enter data into the HMIS system. Reports will consist of a list of all missing data fields for each program and the corresponding client name.

Monthly reports will be sent to the designated contact person for review and to agency executive directors on a quarterly basis. Administrators and executive directors are responsible for ensuring that “null” and “missing” data is completed to the best of their ability.

Quarterly Reports

Our CoC hopes to not only reach, but exceed the goals of better data quality and facilitate the system changes that must occur to end the cycle of homelessness. Quarterly Reports are reported to the CoC board, made available to the public, and reflect each agency participating in HMIS and will disclose:

- Percentage of overall missing data per agency
- Percentage per field of missing data
- Percentage change in missing data from previous quarter and year to date

HMIS Annual Review

To ensure that security and data quality standards outlined by HUD are being met by each contributing organization, the HMIS department will complete an Annual Site Review. The Annual Site Review may be used by the CoC in funding decisions.

Procedures

The TCHC HMIS Department will contact the organization to setup a date and time to complete the review. Organizations should respond within 7 days of initial contact for scheduling. All relevant program managers, case managers, IT staff, and HMIS security officers should be in attendance. The following items will be reviewed:

- Agreements & Certifications
 - Signed copy of the most recent Participating Agency Agreement available
 - All users have signed User License Agreement on file
 - All users have completed applicable training (with documentation)
 - All users have completed annual training
- Data Collection
 - Organization collects all HUD required Universal Data Elements within HUD intake
 - Organization collects all HUD and CoC required Program Specific Data elements within the HUD Intake, Mid-Program, and Exit Assessments
- Data Quality Checks
 - Organization staff/security officer run quarterly data quality reports
 - Organization is updating grant/program setups annually
 - Staff regularly correct data entry errors and missing elements
- Release of Information (ROI)

- Organization uses appropriate release of information and is consistent in collection with clients
- Organization uses the CoC HMIS standardized ROI applicable to their level of sharing
- User Authentication, per HMIS policies
 - All organization's HMIS users are authorized
 - Organizational electronic security policies address prohibitions on sharing username and passwords, storing usernames and passwords in public locations, and storing passwords in the internet browsers
- Hard Copy Data
 - Organization has procedures in place to protect hard copy Personal Protected Information (PPI) generated from or for HMIS
- Security Officer
 - Organization has a designated Security Officer
- Virus Protection and Firewall
 - All computers have virus protection with automatic updates (including non-HMIS computers if they are networked with HMIS computers)
 - Organization has a firewall on the network and/or workstations to protect organization computers, servers, and other locations of client and HMIS data
- Physical Access
 - All HMIS workstations are in secure locations or are staffed at all times if in publicly accessible locations (including non-HMIS computers if they are networked with HMIS computers)
- Data Disposal
 - Organization has policy and procedures to dispose of hard copy PPI or electronic media
- Software Security
 - All HMIS workstations have current operating system and internet browser security (including non-HMIS computers if they are networked with HMIS computers)

HMIS Documentation Requirements

Participating Agency Agreement

The [Participating Agency Agreement](#) details the responsibilities of agencies that collect data within HMIS, as well as the responsibilities of TCHC as the CoC's administrating agency. One agreement must be filled out by each participating agency. This agreement is to be signed by an authorized representative of the agency.

Program Creation & Updated Project Descriptors

Once awards have been announced, recipients must fill out an [ETO Program/Site Creation Form](#). This form should be filled out for each **new AND renewal project** to match the eSNAPS application turned into HUD and should be sent to the HMIS office no later than 30 days prior to the project start date to ensure the organization's ability to begin data entry on the program start date. This form will assist the HMIS team in building effective sites and in providing accurate data reports for each individual program. For more information on HMIS Project Descriptors, see [HUD's](#) guide for HMIS users and administrators.

End User Agreement

Organizations must have all HMIS users attend new user and annual HMIS trainings and provide TCHC with a copy of the signed [TCHC CoC HMIS End User Security and Privacy Agreement](#). This document outlines expectations and responsibilities of persons using HMIS.

Migration Release

Although the TCHC HMIS department does not recommend the migration of data, organizations may choose to migrate data from one site to another. It is important that organizations understand the possibility for unpredictable

outcomes to occur during the migration. Organizations choosing to migrate data must complete the [ETO Program Data Migration Release Form](#).

Merger Release

Merging data from two or more programs is not recommended, as software vendors are not required to have a merge feature and do not have a standardized process. Although unpredictable outcomes may occur, organizations may choose to merge data from two or more programs within ETO. Organizations choosing to merge data must complete the [ETO Program Merger Release Form](#).

All required HMIS documentation can also be found [here](#).

Contact Information

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