

# TX-601 Continuum of Care CoC Monitoring Handbook

## Background and Introduction

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.

As the continuum’s collaborative applicant, TCHC is responsible for program monitoring, evaluation, and reporting. 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 and is responsible for monitoring the progress of these programs.

The purpose of the TX-601 Monitoring Handbook is to take an intentional and systematic approach to improving homeless program performance. The U.S. Department of Housing and Urban Development (HUD) continues to emphasize CoC Homeless Assistance Program performance evaluation for purposes of receiving federal funds. Program performance is regularly used during the annual CoC application process making it a critical component to the system’s success. The program monitoring process will assist with TX-601’s performance improvement efforts.

## System 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 of Directors as well as the public and will be used to measure the local homeless system of care’s progress in meeting the annual performance goals established by the CoC.

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

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
- Successful housing placement or retention of permanent housing

These measures are also provided to HUD annually through the [System Performance Report](#).

## Continuum of Care Programs

### Monitoring Process Overview

TCHC will provide midterm monitoring reports of CoC projects to measure recipient progress in HUD compliance and achieving project goals established in the initial program application and by the CoC Board of Directors. Programs awarded funds through the Continuum of Care grant competition will be required to complete a midterm monitoring review upon completion of the first six months of the program year. Midterm reviews will consist of the following:

- HUD Compliance
- Desk Review
- Performance Review
- HMIS Compliance

TCHC will email the designated contact person at least 14 days prior to the completion of the first six months of the program year to notify them a midterm review will be completed on the program. Requested documents will be required to be sent to TCHC no later than two weeks after the 6 months mark of the program. An on-site review will be conducted to discuss results and complete the midterm project review. A monitoring report will be generated, and results will be shared with the designated project contact. The final report will provide data and an opportunity for organizations to analyze and create strategies for improvement for the remainder of the program year. Monitoring reports may be evaluated by the CoC Board of Directors, respective committees and included in funding competition materials.

More information on this process can be found below.

### HUD Compliance

In alignment with [HUDs Internal Wellness Checklist](#), TCHC will review the following documents as part of a project's midterm monitoring:

- Standard Operating Procedures
- Financial Policies and Procedures
- Violence Against Women Act (VAWA) Policy
- Antidiscrimination / Fair Housing Policy
- Termination Policy

Additional documentation may be requested as needed.

As stated above, these documents will be requested prior to the on-site review. Programs will be required to submit all requested documents by the established deadline to receive credit in this section.

### Desk Review

TCHC will randomly select 10 client files or 10% of client files depending on program size to review for completeness. Program participant files to be reviewed may include:

- Documentation participants are entered into HMIS or comparable database
- Documentation participant was screened via the coordinated entry system
- Documentation of ongoing assessment of services

- Documentation of initial and follow-up Housing Quality Standards inspections
- Leasing – is there an occupancy agreement, lease or sublease in the file (for individual units)

Desk reviews will be completed during the scheduled on-site visit.

#### Performance Review

Performance reviews will consist of a program’s performance for the first six months of the grant year. Agencies will be responsible for sending documentation by the requested deadline. Documentation will include an eLOCCS screenshot or other financial statement demonstrating the program’s current spend down. The following will be reviewed to evaluate program performance:

- A review of the program’s Annual Performance Report (APR) to date
- A review of grant management and financials
- A review of project goals as determined in the initial application
- A review of the organization’s CoC and CES participation

A performance report, based on a mock CoC scorecard, will be generated and results will be shared with the designated project contact during an on-site review.

#### HMIS Compliance

To ensure that security and data quality standards outlined by HUD are being met by each contributing organization, TCHC staff will monitor HMIS compliance. TCHC staff will request all documents needed for HMIS compliance via email. Requested documents may include policies, procedures, certifications, and agreements. Program staff will be required to submit all information by the established deadline to receive credit for this section. Documents will be reviewed for completeness and accuracy. For more information on HMIS Compliance, please reference the [HMIS Site Data Quality checklist](#). The following items will be reviewed:

- Agreements & Certifications
- Data Quality Checks
- Release of Information (ROI)
- User Authentication, per HMIS policies
- Hard Copy Data
- Security Officer
- Virus Protection and Firewall
- Physical Access
- Data Disposal
- Software Security

#### *On-Site Review*

An on-site review will be conducted to complete the midterm project review and discuss results from each section. On-site reviews will also serve as an opportunity for open dialogue, technical assistance, and performance improvement. Project contacts will receive more detailed information on the full on-site review when it is scheduled.

#### *Midterm Summary Report*

Once an on-site review has been completed, the program contact(s) will receive a summary report within two weeks from TCHC staff. The report will include:

- Midterm Monitoring Overall Summary
- Performance Summary
- HMIS Summary
- Desk Review Summary
- HUD Compliance Summary

Based on the results, the report will also indicate whether the project has been selected for a Quality Improvement Plan (QIP). See *Actions Against Poor Performance* for more information on the QIP process. If a project is not selected for a QIP, it may be considered in good standing or receive suggestions for minor improvements that do not require a formal plan.

### Actions Against Poor Performance

#### *Quality Improvement Plan*

A [Quality Improvement Plan \(QIP\)](#) is a grantee developed plan to aid the improvement of program performance. QIPs will be provided upon request of the recipient organization, project performance or as determined by TCHC. Thresholds for each area can be found below. Areas of concern or areas needing to improve may include grant spending to date, inconsistent data within HMIS, HUD compliance issues, or significant shortfalls in performance targets. TCHC will contact grantee to inform them of the decision to target the project for a QIP and next steps.

Targeted grantees will be required to participate in at least quarterly monitoring of QIP implementation and program improvement with TCHC. The monitoring will generally take place via conference call with TCHC staff and grantee staff to review the progress of QIP implementation and performance improvement. QIPs are terminated when a project successfully implements the plan and demonstrate significant improvement. Grantees who have not met their QIP goals, have made only slight (or no) progress in their areas targeted for improvement, or have not fully implemented all the activities identified in their QIP may be required to continue their QIP for another year.

QIPs may be reviewed by the CoC Board of Directors and the Allocations Committee.

For more information regarding this process, see the [Quality Improvement Planning & Process](#).

| <b>Ranking Threshold</b> | <b>Project Performance</b>   | <b>HMIS Compliance</b>       | <b>HUD Compliance</b>        | <b>Desk Review</b>           |
|--------------------------|------------------------------|------------------------------|------------------------------|------------------------------|
| <b>Pass</b>              | No Findings or Concerns      |
| <b>Fail</b>              | Finding(s) and/or Concern(s) | Finding(s) and/or Concern(s) | Finding(s) and/or Concern(s) | Finding(s) and/or Concern(s) |

## 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. In addition to those required during the monitoring process, these documents are used to make system updates in HMIS and to provide programmatic reporting and evaluation. Failure to submit these documents to TCHC will result in an incomplete program file.

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

## 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 TCHC HMIS staff.

### 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.

## Annual Performance Report (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 used during the CoC funding competition 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.

- TCHC staff will email the designated contact person within one week of the program year end date with a list 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 error report include missing or inconsistent data.
- CoC recipients will be responsible for contacting TCHC staff 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.
- TCHC staff will conduct a final data 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.
- CoC recipients are responsible for entering ALL applicable information into Sage including basic grant information, bed and unit inventory/utilization, financial information, and the CSV containing data from HMIS.

HUD has provided the [CoC APR Guidebook](#), which provides steps for APR submission through the Sage HMIS Reporting Repository. Additional SAGE training can be requested by contacting TCHC staff.

## TCHC Contact Information

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