SAN DIEGO
Regional Task Force on Homelessness

Introduction

As a Continuums of Care (CoC), Regional Task Force on Homelessness (RTFH) must establish and maintain standard operating procedures for ensuring the regions CoC Program funds are used in accordance with the requirement established in 24 CFR Part 578. All CoC funded programs must be monitored for compliance with federal regulations, rules, guidelines, CPD Notices and should also adhere to national best practices.

The goal of the RTFH's monitoring process is to ensure that agencies are reaching their performance targets and provide continuous quality improvement, quality assurance, to assist organizations with technical assistance, and necessary to use corrective action and/or to report serious issues to The U.S Department of Housing and Urban Development (HUD).

Through monitoring, RTFH will address and help resolve performance concerns related to policies, procedures and outcomes. The following document contains a step by step procedure that we have streamlined to make the procedure clear and efficient. We look forward to partnering with agencies to improve our regions homeless response system.

If you have any questions on the following document the RTFH's monitoring staff are here to provide clarification and can be reached at the following:

Kat Durant
CoC Lead
kathryn.durant@rtfhsd.org
(858) 292-7627 x22

Anna Stahl
Data Analysis I
anna.stahl@rtfhsd.org
(858) 292-7627 x26

Step by Step Procedure

It is recommended to reference actual deadlines, which are provided on the next pages, while reviewing the procedure outlined below.

1. Monitoring will take place over a period of 45 calendar days. The agency will receive notification at least 2 weeks prior to the beginning of the monitoring window.
2. Once the agency receives notification, it is recommended to begin preparing by reviewing the questions in each monitoring component: grant overview questionnaire, self-assessment, and desk audit.
3. The three tools which the agency will be required to complete and submit via Alchemer are the grant overview questionnaire, desk audit, and self-assessment. The agency will receive the link to each of these forms in Alchemer on day 1 of the monitoring window.
4. On day 1, RTFH also begins working with the agency to schedule a date for a conference call to discuss desk audit and self-assessment questions as requested by the agency and interview project staff members (staff will be selected from the list provided by the agency in the grant overview questionnaire.)
5. The first deadline is the grant overview questionnaire, due in Alchemer by day 3. If RTFH has any clarifying questions regarding the information in the questionnaire, staff will reach out by email of phone, otherwise there are no further tasks related to this component.
6. The second deadline is the desk audit, due in Alchemer by day 10.
7. The third deadline is the self-assessment, due in Alchemer by day 20.
8. RTFH will send the agency a summary report on day 30 that will contain the results of the desk audit and self-assessment.
9. Between days 31-35, a conference call will take place to discuss the desk audit, self-assessment, the summary report, and develop a technical assistance (TA) plan.
10. Technical assistance activities will occur between days 35-45 or will be scheduled for future dates as necessary.
11. Six weeks after monitoring window ends, the agency submits a completed form to update RTFH on any outstanding corrective actions taken to address areas identified in the summary report.

Deadlines for Cohort 1

Day #	Date	Agency
1	February 1, 2021	Receive overview questionnaire, desk audit tool, self-assessment tool, and request to schedule a conference call date
3	February 3, 2021	Overview questionnaire is due
10	February 10, 2021	Desk Audit is due
21	February 22, 2021	Self-assessment is due
30	March 2, 2020	RTFH will send the agency a summary report on day 30 that will contain the results of the desk audit.
31-35	March 3-8, 2021	A conference call will take place to discuss the self-assessment, the summary report, and develop a technical assistance (TA) plan.
36-45	March 9-18, 2021	Technical assistance activities will occur between days 36-45 or will be scheduled for future dates as necessary.
END of the Monitoring Window		
+ 6 weeks		Complete the form provided by RTFH to report back on corrective actions taken.

SAN DIEGO
Regional Task Force on Homelessness

Deadlines for Cohort 2

Day #	Date	Agency
1	April 5, 2021	Receive overview questionnaire, desk audit tool, self-assessment tool, and request to schedule a conference call date
3	April 7, 2021	Overview questionnaire is due
10	April 14, 2021	Desk Audit is due
21	April 26, 2021	Self-assessment is due
30	May 3, 2021	RTFH will send the agency a summary report on day 30 that will contain the results of the desk audit.
31-35	May 4-10, 2021	A conference call will take place to discuss the self-assessment, the summary report, and develop a technical assistance (TA) plan.
36-45	May 11-20, 2021	Technical assistance activities will occur between days 36-45 or will be scheduled for future dates as necessary.
END of the Monitoring Window		
+ 6 weeks		Complete the form provided by RTFH to report back on corrective actions taken.

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Regional Task Force on Homelessness

Deadlines for Cohort 3

Day #	Date	Agency
1	June 1, 2021	Receive overview questionnaire, desk audit tool, self-assessment tool, and request to schedule a conference call date
3	June 3, 2021	Overview questionnaire is due
10	June 10, 2021	Desk Audit is due
21	June 22, 2021	Self-assessment is due
30	June 29, 2021	RTFH will send the agency a summary report on day 30 that will contain the results of the desk audit.
31-35	June 30-July 7, 2021	A conference call will take place to discuss the self-assessment, the summary report, and develop a technical assistance (TA) plan.
36-45	July 8-July 19, 2021	Technical assistance activities will occur between days 36-45 or will be scheduled for future dates as necessary.
END of the Monitoring Window		
+ 6 weeks		Complete the form provided by RTFH to report back on corrective actions taken.

Deadlines for Cohort 4

Day #	Date	Agency
1	October 4, 2021	Receive overview questionnaire, desk audit tool, self-assessment tool, and request to schedule a conference call date
3	October 6, 2021	Overview questionnaire is due
10	October 13, 2021	Desk Audit is due
21	October 25, 2021	Self-assessment is due
30	November 1, 2021	RTFH will send the agency a summary report on day 30 that will contain the results of the desk audit.
31-35	November 2-8, 2021	A conference call will take place to discuss the self-assessment, the summary report, and develop a technical assistance (TA) plan.
36-45	November 3-12, 2021	Technical assistance activities will occur between days 36-45 or will be scheduled for future dates as necessary.
END of the Monitoring Window		
+ 6 weeks		Complete the form provided by RTFH to report back on corrective actions taken.

SAN DIEGO
Regional Task Force on Homelessness

2021 CoC Program Remote Monitoring Process Policy

Introduction

The goals of the San Diego City and County Continuum of Care Monitoring is as follows:

- Proactively assist CoC funded project with efforts to comply with Department of Housing and Urban Development (HUD) regulations.
- Provide guidance and Technical Assistance (TA) opportunities to CoC-Funded projects.
- Address and help resolve performance concerns related to policies, procedures and outcomes.
- Ensure there is consistency in how agencies/projects implement their CoC-Funded programs

Program Monitoring

The Regional Task Force on Homelessness (the Collaborative Applicant), will establish and maintain standard procedures for ensuring that Continuum of Care (CoC) Program funds are used in accordance with federal requirements, and will establish and maintain sufficient records to enable the U.S Department of Housing Development (HUD) to determine whether the recipient and its subrecipients are meeting the requirements of 24 CFR Part 578.

To support this role and responsibility, CoC Program monitoring activities will include financial and program compliance outlined in 24 CFR Part 578 identified in this policy and the supporting CoC Program Monitoring Checklist. The United States Department of Housing and Urban Development (HUD) maintains responsibility for monitoring all CoC recipients, and this will include monitoring a sample of subrecipients when a recipient is selected for HUD program monitoring.

Program Selection

Monitoring Selection and Sampling: RTFH will select agency's to be monitored on a variety of factors. RTFH will additionally provide an opportunity for agencies to self-identify interest in receiving a monitoring visit. If interested they can send an email to the CoC Lead,
Kat Durant at: kathryn.durant@rtfhsd.org
The deadline to self-identify interest is September 1, 2020 reviewed.

Methods

Due to the national pandemic, RTFH will utilize two monitoring components for 2021: desk audits and self-assessments. If more than one project is selected from a single agency, the agency will only be asked to complete the self-assessment and desk audit once. A grant overview questionnaire is also utilized with each project.

- ***Grant overview questionnaire:*** Each project will start the monitoring process by completing a grant overview questionnaire containing questions that will provide RTFH with context and background needed to successfully complete the two monitoring components. Questions will cover the history of the grant, special populations served, family or individual project, project-based or scattered site, and other funding sources. RTFH will pre-populate information already available such as grant year, grant amount and budget lines.

- ***Desk audit:*** The desk audit is a tool used to evaluate policies and procedures in place at the agency to ensure compliance with HUD regulations and local priorities. Because there are many acceptable ways to operate a program, for each question the agency/project provides a description of how they comply, followed by uploading supporting documents/evidence or identifying whether supporting evidence may be demonstrated best through an on-site visit or staff interview. The topics covered in the desk audit include HMIS policies and procedures, staff training and support, supportive services, resource linkages, and program management policies. The desk audit PDF form is available for review and preparation purposes on the monitoring page of RTFH's website.

- ***Self-assessment:*** The self-assessment is an opportunity for the project to reflect on performance and challenges related to practices that are priorities in our community. It is an opportunity for the agency to self-evaluate their project and discuss areas in which they would like to request technical assistance (TA). Topics covered in the self-assessment include homeless and chronic homeless definitions and recordkeeping, coordinated entry, enrollment, housing, eviction prevention, data collection, staff development, service provisions, and grant management. Question types include narratives, checkboxes, Yes/No, and rating scales. The self-assessment also provides an opportunity for the project to identify additional TA needs related to performance on the intent to Renew or the Local Evaluation. The Self-assessment PDF form is available on the monitoring page of RTFH's website.

  To submit this component, the agency will receive a link to a Alchemer form once the monitoring window begins.

Timeframe and Process for Selected Agencies

This is the schedule that will occur over the 9 week/45 business day monitoring window. If needed, adjustments may be made to the schedule to ensure RTFH and the selected agency are able to complete NOFA responsibilities.

Day	Agency
1	Receive overview questionnaire, desk audit tool, self-assessment toll and requests to schedule a conference call date
3	Overview questionnaire is due
10	Desk audit is due
21	Self-assessment is due
30	RTFH will send the agency a summary report on day 30 that will contain the results of the desk audit and self-assessment.
31-35	A conference call will take place to discuss the desk audit, the self-assessment, the summary report and develop a technical assistance (TA) plan.
36-45	Technical assistance activities will occur between days 36-45 or will be scheduled for future dates as necessary

<u>After Desk Audit and Self-Assessment Monitoring</u>

Within 30 calendar days of completing the desktop monitoring, the CoC will summarize the monitoring review, document performance, and identify concerns and/or findings. If a concern or finding is noted, the CoC staff will document the concern/finding in a Technical Assistance Plan or Corrective Action Plan and submit the plan to the recipient within 30 days of the onsite/final desktop monitoring visit.

a) A *concern* is a deficiency in program performance and may result in a finding if the concern is not corrected by the requested date in the Technical Assistance or Corrective Action Plan.

b) A *finding* is a deficiency in program performance based on material non-compliance with a statutory, regulatory, or program requirement for which sanctions or corrective actions are authorized. A *finding* depending on the nature may be immediately reportable to HUD, or invoke other sanctions as defined by 24 CFR 578, a Continuum of Care responsibilities.

c) If needed, a Technical Assistance Plan will address concerns, with a list of action(s) and measurable goals to correct the problem(s) within a reasonable timeframe.

d) If needed, a Corrective Action Plan will address all concerns and/or findings with a list of actions and measurable goals to correct the problem(s)

e) The CoC reserves the right to request immediate corrective action for housing quality standards issues, or other issues that may affect the health and safety of consumers, and reserves all rights under federal law in regards to legal compliance.

Results

On day 30 the agency will receive a monitoring summary report which will include the results of the desk audit. A conference call with agency and RTFH staff will be held within 5 days to discuss the results, answer questions about the report, discuss the self-assessment component, and decide what to include in the technical assistance (TA) plan.

Include in the monitoring report is a form that lists requested actions which identify the area where corrections or updates need to be made to policies, procedures, or participant flies. RTFH may also address areas in which there are no requested actions but where recommendations may be made to help strengthen policies or procedures. The agency will be asked to update the form with corrective actions taken within 6 weeks of the end of the monitoring window. RTFH will review the updates at that time and advise the agency if a significant item of noncompliance remains. Agencies will not be required to resubmit documentation, but the agency may request further review of updated policies and procedures as part of the TA plan.

Technical Assistance

Types of technical assistance may include formal or informal discussions, referrals to training, special/tailored training sessions, referrals to written technical assistance articles or resources, feedback on drafted or revised policies, and referrals to other content experts within or outside of San Diego's CoC. The process of completing monitoring components and receiving results from RTFH is also considered technical assistance due to the potential for agencies to develop additional understanding of requirements and practices by participating.

After the conference call occurs in which the agency and RTFH staff agree upon areas in which technical assistance is needed and available, RTFH will write a TA plan and send it to the agency. The following 5 days will be reserved to provide TA, either to individual agencies or to a group within the cohort. If TA cannot be provided in that timeframe, it will be scheduled for a future date.

Agencies are encouraged to work collaboratively with RTFH to determine areas in which technical assistance will help drive program improvements.

Communication Strategy

Regarding the timely follow-through on monitoring activities, RTFH aims to work collaboratively, not punitively, with monitored agencies and provide clear communication and expectations throughout all components so that activities can be successfully fulfilled. Additionally, RTFH has established a protocol to provide 3 reminders to agencies regarding missed deadlines. After 3 reminders have been issued, RTFH will make note in the monitoring report of actions and activities that are incomplete.

SAN DIEGO
Regional Task Force on Homelessness

2021 Grant Overview Questionnaire

Your Name: ____
Your Title: ____
Your Email: ____
Your Phone Number: _________________________________
Agency Name: ______________________________________
Project Name: ______________________________________
HMIS ID: ______________

Introduction

The purpose of the grant overview questionnaire is to provide RTFH with the context and background information about the HUD CoC grant which is needed to successfully complete the two monitoring components. If an agency has multiple projects selected for monitoring, the agency will submit a separate grant overview questionnaire for each project.

Instructions

The agency receives the link to the grant overview questionnaire in SurveyGizmo on the first day of the monitoring window. RTFH will pre-populate any information that is already maintained about the project and request the agency to complete the missing information and submit by day 3 of the monitoring window. If there are questions about the information submitted. RTFH will reach out by phone or email for clarifications.

1. Grant Number (F GIW): ___________________
2. Grant Start & End Date: ______________________
3. HUD Program Model Type: ____________________
4. RTFH Program Type: _________________________
5. Grant Amount: ______________________________
6. Number of Units: ____________________________
7. Number of Beds: ____________________________
8. Budget Lines: ______________________________

_________ Leasing
_________ Rental Assistance
_________ Supportive Services
_________ Operating Costs
_________ HMIS
_________ Admin

9. How old is the grant? _______________
10. Did the agency inherit the grant? If so, when? _________________
11. Are any units dedicated to the chronically homeless? If so how many? ___________
12. Does the agency own the units? __________________
13. Is the housing project-based or scattered-site? ____________________
14. If the program has a rental assistance budget, is the rental assistance tenant-based, project-based, or sponsor-based rental assistance? __________________________
15. Does this program combine funding from other sources? If so, please explain the sources, what other funding supports, and if there are any conflicting funding requirements.

____
16. Does the program serve families? _____________________________
17. Does the program have a special population focus? If so, please describe.

____
18. Please provide any additional information you would like us to know about the project.
19. Upload a copy of the most recent executed grant agreement.

File Upload:

Grant Overview Questionnaire Page #2

2021 Desk Audit Tool

Your Name: ____
Your Title: ____
Your Email: ____
Your Phone Number: _________________________________
Agency Name: ______________________________________
Project Name(s) (list project(s) selected for CoC monitoring):______________________________________

Introduction

The questions included in this tool are based on HUD CoC regulations or priorities that have been established locally. The San Diego CoC experts each program that received HUD CoC funding to be able to demonstrate compliance with the questions.

Each agency that is being monitored will complete one survey even if multiple projects are selected for CoC program monitoring. The majority of questions in the desk audit tool relate to agency-level practices or policies. However, if a question is project-specific and the agency is being monitored for multiple projects, a response will be required for each project.

RTFH recognizes that each agency/project operated differently and that there is a range of possible practices that may be acceptable for every question. Therefore, with many of the questions there is an opportunity to write a narrative describing how the agency/project fulfills the expected standards.

Instructions

The agency receives the link to the Alchemer desk audit tool on the first day of the monitoring window, and it is due on day 10 of the monitoring window. The agency will receive a summary report on day 30 which will contain the desk audit results. A conference call is scheduled between days 31-35 to discuss the desk audit results and to develop a technical assistance (TA) plan. TA activities occur days 36-45 of the monitoring window or are scheduled for future dates as necessary

When uploading files, please only provide documentation that is specifically requested. When submitting a policy manual to fulfill a requirement, please highlight the section that satisfies the request. There is a limit of 8 *file uploads per question and each document may exceed 2MB in size.* However, please notify RTFH if you have additional documentation you would like to submit.

Desk Audit Tool Page #1

Sections

- Homeless Management Information System (HMIS) Policies and Procedures (2 questions)
- Staff Training and Support (3 questions)
- Supportive Services and Resource Linkage (5 questions)
- Program Management (1 questions)

1. **The agency has the HMIS Notice of Privacy Practice posted on agency website.** Monitors will check to see that the agency's website has the most up to date versions of the NPP posted to the agency website.

   Please provide a direct link to the posting on your agency's website:

2. **The agency is able to provide a list of all the HMIS users at the agency that have completed the HMIS training.**
   Monitors will run a report of current HMIS users at the agency and compare it with the list the agency provides.
   File Upload:

Staff Training and Support

3. **Does your agency have a policy regarding professional development? If so, please upload the policy.**
   File Upload:

4. **Does your agency have a system for tracking staff training attendance, such as a training spreadsheet, log or tracker? If so, please upload a completed version.**
   File Upload:

5. **Please describe how the agency provides staff with training opportunities in the following subject areas. Please indicate whether opportunities are available to new staff, existing staff, or both. Please also note whether the opportunities are internal or external, and the frequency.**

   A) Diversity training: may include topics such as race, cultural, religion, sexual orientation, gender, age, etc.

   B) Best practices and evidence-base practice models: may include topics such as housing first, harm reduction, motivational interviewing, trauma-informed care, etc.

1. **The agency has the HMIS Notice of Privacy Practice posted on agency website.**

Monitors will check to see that the agency's website has the most up to date versions of the NPP posted to the agency website.

Please provide a direct link to the posting on your agency's website:

2. **The agency is able to demonstrate that all HMIS users at the agency have signed the 'Multiparty Authorization to Use and/or Disclose Information"**

   Monitors will run a report of current HMIS users at the agency and verify there is a signed form for each user. Please upload signed policies for all current users.

   File Upload:

Staff Training and Support

3. **Does your agency have a policy regarding professional development? If so, please upload the policy.**

   File Upload:

4. **Does your agency have a system for tracking staff training attendance, such as a training spreadsheet, log or tracker? If so, please upload a completed version.**

   File Upload:

5. **Please describe how the agency provides staff with training opportunities in the following subject areas. Please indicate whether opportunities are available to new staff, existing staff, or both. Please also note whether the opportunities are internal or external, and the frequency.**

   A) **Diversity training: may include topics such as race, cultural, religion, sexual orientation, gender, age, etc.**

   B) **Best practices and evidence-base practice models: may include topics such as housing first, harm reduction, motivational interviewing, trauma-informed care, etc.**

C) **Homelessness: may include housing first, HUD's definitions of homelessness, HUD's chronically homeless definition, and RTFH's, etc.**

D) **Other – Please explain:**

If it is possible to upload evidence/documentation of the implementation of the methods described for providing training opportunities to staff, please upload the files here. Examples of evidence/documentation may include training logs or trackers, training announcements shared with staff, sign-in sheets, certificates of attendance, or other documents. If you already upload a training tracker spreadsheet with question #4, you do not have to re-submit that or submit additional documentation.

File Upload:

It if is difficult to upload evidence/documentation of the agency's methods, please indicate where there is something that can be shown to monitors during an on-site visit. Staff interviews are **not** an option for this question.

Supportive Services and Resource Linkage

6. **Please describe how the agency helps participants meet unique needs, whether by meeting the needs internally, referring to an outside source (if so, indicate the referral source/linkage agreement), or if a staff person has responsibility for seeking resources as needs arise.**

   A) **Psychosocial barriers (i.e. substance use counseling, psychiatric services, etc.)**

   B) **Physical disabilities**

   C) **Communication barriers (i.e., interpreter, bilingual materials, Braille materials, Text Telephone – TTY/TDD)**

7. **Please describe how the agency shares informational resources with the program participants to affirmatively further fair housing and upload resource documents.**
   Monitors will verify that the resources include information about who is protected, what actions are prohibited, how to file a complaint, and how to contact local fair housing enforcement agencies. For transitional housing projects, the program has resources for participants to utilize when searching for permanent housing.

   Upload the fair housing document(s) here. Documentation may include brochures, pamphlets, fliers, training materials, etc.
   File Upload:

8. **Please submit the menu and variety of services available to program participants.**
   Monitors will verify that the project makes a variety of services available to meet the range of possible service needs that the program's population may have.

   Upload the menu of services.
   File Upload:

9. **Please describe how the project conducts an annual assessments of the service needs of the program participants and adjust service accordingly. Monitors will verify that the process includes assessment of receipt and renewal of mainstream benefits, access to health care, and a range of other possible service needs.**

   Upload the documentation demonstrating annual assessment of service needs, such as an annual assessment template or policy/procedure for completing annual assessments. Other documentation may be acceptable
   File Upload:

10. **For projects that serve families, the project is able to describe and/or provide a policy or procedure to support how staff ensure the following:**
    - **A) Families with children under 18 are not separated or denied admission into housing**
    - **B) Children are enrolled in school or preschool and families are provided guidance and support in doing so**
    - **C) Families enrolled in transitional housing projects are connected to school**
    - **D) The project's case management model includes developmentally appropriate service planning for each member of the family**
    - **E) Children have access to developmental screening**
    - **F) Families are assisted with accessing child-care**
    - **G) The project assesses and monitors the health of children**
    - **H) The project's facilities utilize space and materials to promote healthy parent-child engagement.**

    If you have documentation demonstrating implementation of the methods you describe for supporting families, such as a policy or procedure manual, referral templates, pamphlets, or brochures, please upload file(s) here. Other documentation may be acceptable.

    File Upload:

    If it is difficult to upload evidence/documentation of the family supports provided, or if you were unaware that you should have a policy of procedure, please indicate that here. Indicate if there is something that can be shown to monitors during an on-site visit or if you are willing to have monitors interview staff during the visit.

11. **The agency is able to provide a policy to support period of record retention. Records pertaining to the program participant's qualification for the CoC Program are being retained for a minimum of 5 *years* after the expenditure of all funds from the grant under which the program participant was served. (24 CFR 578.103(c)(1))**

    Upload the policy or procedure for record retention here.

    File Upload:

Program Management Policies

12. **Please provide any comments or questions.**

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2020 Self-Assessment Tool

Your Name: ____
Your Title: ____
Your Email: ____
Your Phone Number: __________________________________
Agency Name: ______________________________________
Project Name(s) (list project(s) selected for CoC monitoring):_______________________________________

Introduction

The intent of this self-assessment is for the agency to honestly evaluate the current state of their own organization in several key areas such as participation in coordinated entry, verification of chronic homelessness, utilization of data, and services provided. The information will be used by the agency and RTFH to generate a technical assistance (TA) plan that will be an effective resource for the agency. Possible types of technical assistance that could be included in the plan include referrals to workshop or training opportunities, sample tools or templates, HMIS guidance, and referrals to articles and outside experts.

The estimated time it may take an agency to complete this tool is 30 minutes, although this will likely vary from agency to agency. Agencies that have completed this tool in the past have indicated that the more time they spent completing the tool and reflecting on responses, the more they received from the process in terms of a responsive and helpful technical assistance plan. Due to the range of topics covered in the self-assessment, more than one staff person may need to be involved in its completion so it is recommended to review the list of sections on the next page and plan accordingly.

Each agency that is monitored will complete one survey. Most of the questions relate to agency-level practices, but some are project-specific. For agencies that receive monitoring for multiple projects, the survey is formatted to allow multiple responses to project-specific questions.

Instruction

The agency receives the link to the self-assessment tool in Alchemer on the first day of the monitoring window, and the deadline for submission is day 20 of the monitoring window. A conference call is scheduled between days 31-35 to discuss the self-assessment and the monitoring report and to develop a technical assistance (TA) plan. TA activities occur during days 36-45 of the monitoring window or are scheduled for the future dates as necessary.

Sections

- Coordinated entry (Questions 1-9)
- Homeless and chronic homeless definitions and recordkeeping (Questions 10-17)
- Enrollment (Questions 18-21)
- Housing (Questions 22-28)
- Eviction prevention (Questions 29-32)
- Data collection/quality and performance improvement (Questions 33-42)
- Staff development and training (Questions 43-44)
- Policies and procedures (Questions 45-48)
- Service provision
- Grant management (Questions 55-57)
- General summary questions (Questions 58-60)

Self-Assessment Tool Page #2

Coordinated Entry

1. **This project utilizes the Coordinated Entry System (CES) to fill all unit openings: (select one) (project-specific question; can be completed more than once in SurveyGizmo)**
   [ ] 100% of the time
   [ ] 90% - 99% of the time
   [ ] 80% - 89% of the time
   [ ] Less than 80% of the time

2. **Please explain any barriers that prevent the agency from utilizing the CES for openings 100% of the time.**

3. **Tools this agency uses in the CES matching process include: (select all that apply)**

   [ ] Reaching out to current providers that client is enrolled with
   [ ] Reaching out to the skilled assessor when we can't locate a client
   [ ] Reaching out to client's alternate contact
   [ ] Reaching out to the client via means other than phone and email
   [ ] Reaching out to the outreach team when we can't locate a client
   [ ] Regularly updating a client's need status in HMIS
   [ ] Assisting a client with obtaining documentation to ensure access to housing
   [ ] Uploading client documentation into HMIS
   [ ] Requesting a housing system navigator, when applicable
   [ ] Having a housing locator on staff
   [ ] Having case managers who are able to assist with obtaining documents
   [ ] Having case managers who are able to assist with housing location
   [ ] Other – Write In: ____

4. **What percentage of matches are declined by the participant or rejected by your program? Please explain the most common reasons for match refusals. (Project-specific question: can be completed more than once in SurveyGizmo)**
   [ ] 0% of the time
   [ ] 1% - 20% of the time
   [ ] 21% - 40% of the time
   [ ] More than 41% of the time

5. **Who completes the match requests for the agency/program and who completes the needs status updates for the matches? Please reflect on whether the right staff members are handling these tasks.**

6. **Please rate how well the agency adheres to the standard of updating needs status within 2 days after receiving the initial match.**
   [ ] Very well (i.e., this always occurs)
   [ ] Average (i.e., this occurs regularly but not always)
   [ ] Low (i.e., this doesn't occur frequently)

7. **Please rate how well the agency adheres to the standard of updating the needs status once the referred participant is deemed eligible or ineligible for the program.**
   [ ] Very well (i.e., this always occurs)
   [ ] Average (i.e., this occurs regularly but not always)
   [ ] Low (i.e., this doesn't occur frequently)

8. **Please answer Yes or No to the following questions:**
   - **We are aware of how and when to request a transfer (Yes / No)**

9. **If you would like to make any technical assistance requests related to coordinated entry, please explain.**

Homeless and Chronic Homeless Definitions and Recordkeeping

10. **Please rate the overall level of staff knowledge on the homeless definition as prescribed on the HEARTH Act.**
    [ ] Very good (i.e, staff understand the definition and rarely need to seek help from others)
    [ ] Average (i.e., staff understand some parts of the definition but often have questions)
    [ ] Low (i.e., staff have a high need for additional training)

11. **Please rate the level of staff knowledge on the protocols for documenting homelessness (for programs that serve participants who are not chronically homeless).**
    [ ] Very good (i.e, staff understand the criteria for acceptable documentation and rarely need to seek help from others)

[ ] Average (I,e., staff understand some parts of the criteria for acceptable documentation but often have questions)
[ ] Low (i.e., staff have a high need for additional training)
[ ] N/A (i.e., staff work in program(s) that only serve participants meeting the chronic homeless definition)

12. Please rate the overall level of staff knowledge on the definition of chronic homelessness.
[ ] Very good (i.e., staff understand the definition and rarely need to seek help from others)
[ ] Average (i.e., staff sometimes have difficulty applying the definition but often have questions)
[ ] Low (i.e., staff have a high need for additional training)

13. Please rate the overall performance of staff on collecting information and answering the chronic homeless determination questions accurately.
[ ] Very good (i.e., staff apply the definition accurately a high percentage of the time)
[ ] Average (i.e., staff sometimes have difficulty applying the definition accurately)
[ ] Low (i.e., staff have a high need for additional training)

14. Pleases rate the level of staff knowledge on the protocols for verifying chronic homelessness. *(PSH projects only)*
[ ] Very good (i.e., staff understand how to obtain verification, the time frames for verification, and rarely need to seek help from others)
[ ] Average (i.e., staff understand some parts of the verification process but often have questions)
[ ] Low (i.e., staff have a high need for additional training)
[ ] N/A (i.e., staff work in a program that is not required to verify chronic homelessness)

15. The project ensures all new participations meet the definition of chronic homelessness, if applicable: (select one) (Project-specific question; can be completed more than once in SurveyGizmo)
[ ] 100% of the time
[ ] 90% - 99% of the time
[ ] 80% - 89% of the time
[ ] Less than 80% of the time
[ ] Not Applicable

16. **Tools this agency uses in the process to verify chronic homelessness include: (select all that apply)**
    [ ] HUD's Chronic Homelessness Flow Chart
    [ ] Trainings on the chronic homeless definition
    [ ] Other – Write In: ____
    [ ] Not Applicable

17. **If you would like to make any technical assistance requests related to the homeless or chronic homeless definitions or recordkeeping requirements, please explain.**

Enrollment

18. **Does the agency have any questions about who can be served in any of its projects?**

19. **To what extent do you agree or disagree with the following statement: This agency expedites the admission process to the greatest extent possible and makes it person-centered and flexible.**
    [ ] Strongly agree
    [ ] Agree
    [ ] Neutral
    [ ] Disagree
    [ ] Strongly disagree

20. **In practice, how well do you feel this agency eliminates barriers to entry (i.e., screening in versus screening out)?**
    [ ] Very strong
    [ ] Strong
    [ ] Average
    [ ] Weak
    [ ] Very weak

21. **If you would like to make any technical assistance requests related to enrollment, please explain.**

SAN DIEGO Regional Task Force on Homelessness

Housing

Please rate the agency on the following questions using a scale from 1 to 5, where 1 is the lowest and 5 is the highest.

22. How would you rate the agency in promoting participant choice in housing?

23. How would you rate the agency in providing education to participants about their lease or occupancy agreement terms?

24. How would you rate the agency in helping participants build relationships and connections to their community (to help foster housing stability)?

25. Please explain any high or low ratings in the previous three questions.

26. How does the agency inform participants of the right to request reasonable accommodations related to disabilities?

27. What kind of support may participants expect from program staff in their search for housing? Select all that apply. (Project-specific question; can be completed more than once in SurveyGizmo)
[ ] Participants do not have a choice of units because the project has established buildings or units
[ ] Staff locate potential units for participants
[ ] Participants receive help from dedicated housing department staff
[ ] Participate locate their own units
[ ] Participate have access to a computer lab to use to conduct the housing search
[ ] Staff counsel or train participants on methods to use in the housing search process (such as websites to visit, listings, etc.)
[ ] Staff prepare or support participants in meeting and interviewing with landlords
[ ] Other – Write In: ____

28. If you would like to make any technical assistance request related to housing, please explain.

Eviction Prevention

29. Tools this agency uses to help participants avoid eviction include: (select all that apply)
[ ] Relocation to another unit
[ ] An in-house Eviction Prevention program

[ ] Regular meetings involving property management and clinical services staff
[ ] Assisting tenants with obtaining a payee
[ ] Offering multiple payment plan options to tenants
[ ] Transfers to another program/agency when necessary to avoid eviction
[ ] Other – Write In: ____

30. How often does a participant at this agency lose their housing due to not making rent payments?
[ ] At least once a month
[ ] At least once every two months
[ ] At least once every three months
[ ] At least once every six months
[ ] At least once a year
[ ] Less than once a year or never

31. In cases where all efforts to avoid eviction are unsuccessful, please share the most common reasons that participants are evicted.

32. If you would like to make any technical assistance requests related to eviction prevention, please explain.

Data Collection/Quality and Performance Improvements

33. Does your agency have an internal process for onboarding new employees into HMIS (i.e., helping them understand who the ATA is, what project types they need to be trained on, how to sign up for trainings, etc.)?
[ ] Yes
[ ] No

34. **Does your agency have a system for preserving institutional knowledge of your internal HMIS procedures?**
[ ] Yes
[ ] No

35. **What personnel primarily enters participant universal data elements in HMIS? (select all that apply)**
   [ ] Agency Technical Administrator (ATA)
   [ ] Program Managers
   [ ] Supervisors
   [ ] Case Managers / Frontline Staff
   [ ] Interns or Temporary Staff
   [ ] Other – Write In: ____

36. **Once a participant is entered into HMIS and the universal data elements are completed, what personnel primarily maintains the record in HMIS (i.e., such as entering client level updates)? (select all that apply)**
   [ ] Agency Technical Administrator (ATA)
   [ ] Program Managers
   [ ] Supervisors
   [ ] Case Managers / Frontline Staff
   [ ] Interns or Temporary Staff
   [ ] Other – Write In: ____

37. **How many databases does this agency input program/service – related participant data into? Does the agency experience any challenges related to data accuracy or timely data input stemming from multiple database usage?**

38. **How often does this agency utilize the HMIS Help Desk: (select one)**
   [ ] Daily
   [ ] Weekly
   [ ] Monthly
   [ ] Other – Write In: ____

39. **What does the agency most frequently use the HMIS Help Desk for?**

40. **How often does this agency review participant data and evaluate outcomes: (select one)**
   [ ] Monthly
   [ ] Quarterly
   [ ] Bi-annually
   [ ] Annually
   [ ] Other – Write In: ____

41. Please explain any ways in which this agency utilizes HMIS data in program planning.

42. If you would like to make any technical assistance requests related to data collection/quality and performance improvement, please explain:

Staff Development and Training

43. In what content area(s) is there the greatest need for staff training or development at this agency?

44. If you would like to make any technical assistance request related to staff development and training, please explain.

Policies and Procedures

45. This agency has Human Resource policies in place regarding the following: (select all that apply)

[ ] Sexual harassment
[ ] Non-discrimination
[ ] Whistle blower
[ ] Employee code of conduct
[ ] Employee grievance procedures
[ ] Confidentiality
[ ] Conflict of interest
[ ] Explanation of employee benefits
[ ] Employee expectations
[ ] Safety/evacuation procedures

46. Please explain the methods used by the agency to inform and/or train employees on the policies mentioned in the preceding question.

47. Please rate the agency on VAWA implementation.

[ ] Very good (i.e., agency understands VAWA requirements and has procedures and forms)
[ ] Average (i.e., agency understands VAWA requirements but there is progress to be made)

48. If you would like to make any technical assistance requests related to policies and procedures, please explain.

Service Provision

49. Supportive services at our agency: (select all that apply)

[ ] Are voluntary and are not a requirement for tenancy
[ ] Focuses on helping tenants create a plan for obtaining or maintaining housing
[ ] Are developmentally appropriate for youth needs
[ ] Are developmentally appropriate for family needs
[ ] Take safety into account when orienting new tenants
[ ] incorporate conversations about harm reduction when talking about tenant behavior
[ ] Utilize the goal planning process to review and set short-term goals
[ ] Utilize the goal planning process to review and set long-term goals
[ ] Review and update goal plans annually
[ ] Review and update goal plans every six months
[ ] Review and update goal plans quarterly
[ ] Review and update goal plans monthly

50. How do agency staff engage with SOAR to help connect individuals with cash benefits?

51. How do agency staff connect participants to employment or workforce development opportunities?

52. What is the typical caseload ratio? (Project-specific question; can be completed more than once in SurveyGizmo)

53. What strategies does the agency use to encourage participation in services without making participation a requirement?

54. If you would like to make any technical assistance request related to service provision, please explain.

55. **The agency has a tracking system in place that tracks the following: (select all that apply)**
   [ ] Technical submission
   [ ] Grant agreement
   [ ] Development activities
   [ ] Start of operations
   [ ] End of operations
   [ ] Amendments
   [ ] Renewal
   [ ] APR deadlines
   [ ] Audits / monitoring

56. **What practices does the program utilize to monitor spending and identifying ways to spend funds in order to avoid unnecessary recapture of funds?**

57. **If you would like to make any technical assistance request related to grant management, please explain.**

General Summary Questions

58. **Please identify whether the agency would like to request any additional feedback or technical assistance related to areas that were flagged as "pass with findings" in the Intent to Renew.**

59. **Please identify whether the agency would like to request any technical assistance related to questions in which low scores were received in the Local Evaluation.**

60. **What assistance or guidance would help the agency improve in any of the areas covered in this self-assessment? For areas in which you would like assistance, what is the highest priority for you at this time?**