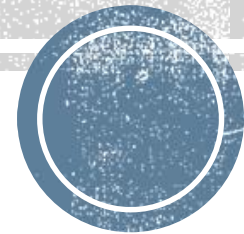# SNHCoC External Monitoring Year 1

2019 Annual Report by the Strategic Progress Team to the MWG and CoC Board

Outline for Presentation

- Goal(s) for Presentation

- Purpose and Need

- Year 1 Process for External Monitoring

- Year 1 Results from External Monitoring

- Year 1 Lessons Learned

- Recommendations and Proposed Year 2 External Monitoring

- Q&A

Presentation Goal(s)

- Goal 1: Present to the MWG/CoC Board the process and results from Year 1 External Monitoring

- Goal 2: Discuss Lessons Learned from initial year of monitoring

- Goal 3: Field and respond to questions from MWG/CoC Board related to External Monitoring

- Goal 4: Outline Year 2 process, approach, and timeline

- Goal 5: Present Recommendations for Year 2 External Monitoring

Annual Report: Purpose and Need

- From a best practice perspective, external monitoring allows for more standardization and unbiased, objective monitoring and reporting.

- The External Monitoring Team conducted monitoring and audit oversight activities, which:
  - Offers a retrospective assessment of what transpired with awarded program funds;
  - Serves to identify issues that could result in loss of funding or other programmatic audit findings; and
  - Assesses opportunities for more standardization across programs and system-wide adherence to regulations, requirements, and best-practices.

- In total there were:
  - 12 ESG programs monitored for period 1 January 2017 – 31 December 2017 across 9 providers and
  - 27 CoC programs monitored for period 1 July 2017 – 30 June 2018 across 12 providers.

Annual Report: Year 1 Process

- Monitoring activities were conducted for both ESG and CoC-wide Programs separately with variations in tool development and outcome reporting based on existing documentation and tools.

- The process for developing the external monitoring documentation was founded in standardization and regulatory compliance.

- Where local tools were unavailable, comparative locale documentation was assessed and deployed with modifications.

- Available local tools were assessed and modified based on direction for MWG and Collaborative Applicant.

- Monitoring was conducted both on-site visits and desk audits of HMIS and other available program documentation.

- Official communications were sent to schedule monitoring visits and to summarize monitoring results. Program specific communications were on-going throughout monitoring period as needed to schedule visits, conduct monitoring, verify observations, discuss issues, and request additional documentation as some examples.

- Future standardization between ESG and CoC-wide Program monitoring is anticipated and recommended, which is discussed in more detail later in the presentation.

Annual Report: Year 1 Results ESG

- This was the first time ESG programs had undergone compliance monitoring and review, which resulted in identification of not only concerns, issues, and opportunities for Technical Assistance, but also findings.

- In total there were findings issues by jurisdictional leads to six (6) grant funded programs.

- ESG monitoring did not include a scoring tool such as the v2 Performance Monitoring Report, Expected Drawdown Rate, Utilization Rate, and Performance Scoring Tool.

Annual Report: Year 1 Results ESG Cont...

- In addition to noted findings, there were a variety of issues report across multiple programs, which included:

  - ESG specific policies and procedures to include: Financial Management, Termination and Grievance, Privacy, and general ESG policies and procedures (9)

  - Standardization of case files (8)

  - Timeliness and accuracy of HMIS reporting and data entry (6)

  - Finding recommendations (6)

  - Paper-based vs. paperless record keeping best practices and mechanisms for monitoring (3)

  - Coordinated Entry/Coordinated Intake (3)

  - Capacity to track and report clients by jurisdiction (3)

  - Written operation standards (3)

  - Community-wide discharge plan (3)

  - Grant documentation and compliance (3)

  - Case plans and case notes (2)

  - Landlord recruiting (2)

  - Follow up and post-discharge interviews and assessments (2)

Annual Report: Year 1 Results CoC-Wide

- In total there were 27 programs included in monitoring activities and 24 exit interviews conducted (three programs were administered by a provider that has closed and full monitoring to include exit interviews was not possible).

- Monitoring activities to include site visits and desk audits were conducted during March, April and May 2019.

- MWG and Collaborative Applicant reviews of initial monitoring results were conducted in June 2019.

- Program personnel were provided initial results in July 2019.

- Exit Interviews were conducted in August 2019, which changes based on program personnel, MWG, and/or Collaborative Applicant were made from June through August 2019.

- In total, there were 633 documents (417 program specific files and 216 template or example files), 24-letters, and 24-webinar links sent to providers that were monitored as part of the CoC monitoring process.

Annual Report: Year 1 Results CoC-Wide Cont…

- Case file inconsistencies, inaccuracies, or incomplete participant records were prevalent.
  - **15 of 24** programs had files reassessed, which equated to **184** case files of which **166** led to scoring changes across **13** programs. The vast majority of these files were updated by the provider following initial monitoring.

- Some monitoring calculations such as the Utilization and Expected Drawdown rates were subjected to agency data changes, incorrectly listed information in HMIS, or updates based on CA or grant documentation.
  - **8** programs had updated Utilization Rate, only **one** had updated Expected Drawdown Rate, **4** changes were agency based, while **5** were changed based on HMIS, Collaborative Applicant, or grant documentation.

- Monitoring score changes, which occurred with **15** programs were a result of both monitoring team or tool-based issues and initial file or program non-compliance that was updated prior to score finalization.
  - **None** of the changes resulted from tool or monitoring team issues; **13** changes were based on updated case files; **3** were HMIS or HUD related; **2** programs had both a case file and HMIS/HUD related change; **14** changes were positive, **one** was negative.

Annual Report: Year 1 Results CoC-Wide Cont…

- There are several providers whose programs are administered and managed using separate databases beyond HMIS. The utilization of HMIS is unpredictable and far from standardized. The majority of data transfer is manually conducted.

- General monitoring compliance issues, inconsistent expectations of monitoring processes, and potential implications of program-based non-compliance at the system level were observed and documented during initial year monitoring.

- As found in the ESG program reviews, there is evidence of potential double dipping and multiple program enrollment.

- Monitoring tool development and implementation issues were found throughout the monitoring period.

Annual Report: Lessons Learned

- To develop a scalable and sustainable External Monitoring Process, the Lessons Learned section of the Annual Report included results from a Provider Survey in addition to presented lessons learned from the perspective of the Monitoring Working Group, the Collaborative Applicant, and the Strategic Progress EMT.

- The Provider Survey offered insight into processes and approaches from the provider perspective, which were incorporated into recommendations for Year 2.
  - Generally speaking, the Provider Survey indicated positive results with 70% of providers satisfied with monitors and monitoring.
  - Opportunities for improvement were identified specifically related to timeliness of monitoring activities, changes to monitoring schedules, and communications all of which had less than 70% positive responses.

- ESG and CoC-wide Lessons Learned highlighted needs for standardization across monitoring activities, tools, reporting processes, and documentation. Additionally, the need for additional tool development was consistent for both ESG and CoC-wide Lessons Learned to include:
  - The v3 of the Performance Monitoring Report
  - Coordinated Entry/Intake Assessment
  - Housing First
  - HMIS Data Compliance

Annual Report: Lessons Learned for the MWG

- For the MWG, Lessons Learned included:
  - More streamlined communication and review process of all program files, correspondence, results, etc.
  - SNHCoC specific policies and procedures for ESG and CoC-wide programs
    - More consistency between Jurisdictions for ESG program requirements and communications
    - Most of the scoring changes for CoC-wide programs related to case files were based on appeals which cited no SNHCoC policy and procedure related to case file issues identified even though the vast majority of re-assessed files were substantially different as compared to initially reviewed files.
  - Improved communication from MWG members to non-MWG member providers.

Annual Report: Lessons Learned for the CA

- For the Collaborative Appliance, Lessons Learned included:
  - The Collaborative Applicant serves only as the designated party eligible to collect and submit the Consolidated application, priority listing and other information to HUD.
    - This limits funding-based corrective actions, financial repudiation, requirements of Technical Assistance based on monitoring.
    - Additionally, this system design requires extensive engagement and "buy-in" from providers in the External Monitoring processes.
  - There are numerous working groups, which are not always working congruently or cooperatively, which reduces monitoring capacities. Examples: HMIS data quality and compliance and Coordinated Entry/Intake.
  - More streamlined review and communication processes

Annual Report: Lessons Learned for Strategic Progress EMT

- For the Strategic Progress EMT, Lessons Learned included:
  - Adherence to initially proposed timelines and processes is imperative. There were numerous changes in tools utilized, tight time periods for scheduling monitoring, scheduling issues, and process changes related to desk audit and site visit monitoring.
  - More streamlined process for conducing monitoring beginning with entrance conferences and concluding with exit interviews.
  - Simplification of tools without eliminating HUD requirements to improve efficiency and effectiveness of monitoring as well as increase standardization.
  - Additional EMT specific team training related to HUD requirements, monitoring expectations, and all monitoring tools.

Annual Report: Recommendations Timeline for Year 2

- **November 2019- January 2020:** Tool development, modification, and integration.

- **January – March 2020:** CoC monitoring to commence with LMS course followed by communication of official monitoring date(s) for on-site monitoring and the desk audit (which will be conducted virtually).

- **March – April 2020:** ESG monitoring to commence in the same format as conducted during the CoC monitoring activities, processes, and approaches as outlined for COC-wide monitoring.

- **April-May 2020:** Secondary monitoring if needed for CoC programs. Finalization of results from initial monitoring and preparation for final reporting.

- **May-June 2020:** Secondary monitoring if needed for ESG programs. Finalization of results from initial monitoring and preparation for final reporting.

Annual Report: Recommendations Timeline for Year 2 Cont...

- **June 2020:** Work with HomeBase to identify data needs from monitoring to create an uploadable file of monitoring results to inform scoring and ranking procedure.

- **June – July 2020:** Conduct exit interview kick-off call for ESG and CoC programs, distribute annual provider survey (with modifications), schedule exit interviews over a 3-week time period and distribute final documentation for review during exit interviews following the exit interview kick-off call(s). Complete all final communications to programs and provide final scoring files to Collaborative Applicant for uploading into PRESTO.

- **August - September 2020:** (Beginning of Year 3) Complete survey review, develop annual report, and present outcomes to MWG, CA, any requested joint-working group meetings, and oversight boards.

- **September 2020:** Begin laying out process changes and monitoring calendar for Year 3 based on annual report for Year 2 and needs of the MWG, CA and Jurisdictional Leads (ESG only).

Summary of Recommendations

- Recommendation 1: Incorporate Housing First compliance by deploying HUD Housing First Tool as part of monitoring activities.

- Recommendation 2: Task the Coordinated Entry Working Group to determine parameters upon which to measure Coordinated Entry compliance and provision of reports to be included in monitoring tool scoring.

- Recommendation 3: Task the HMIS Working Group to determine parameters upon which to measure provider usage of HMIS. These determinations should include elements such as:
  - Consistent HMIS usage expectations as it pertains to client information on profile and program enrollment screens, especially those agencies that use other databases for client management and case notes
  - Development of clear guidance to be given to providers (perhaps at PADL meeting)
  - Mechanism to ensure that providers can acknowledge understanding of expectations (perhaps signed form)
  - Development of parameters that should be included in monitoring; provision of reports to be included in monitoring tool scoring

- Recommendation 4: Deploy the v3 Performance Monitoring Report in lieu of the v2 version used in Year 1.

Summary of Recommendations Cont...

- Recommendation 5: Task the Monitoring Working Group to review the current monitoring tools along with Housing First, Coordinated Entry and HMIS Compliance to assess scoring parameters.

- Recommendation 6: Task Monitoring Working Group in collaboration with External Monitoring Team to create weighting parameters for all new and existing scoring elements as recommended from Year 1 results.

- Recommendation 7: Task Monitoring Working Group and External Monitoring Team to work with HomeBase toward improved continuity between application, monitoring, and scoring & ranking processes.

- Recommendation 8: Task External Monitoring Team in collaboration with the Monitoring Working Group to standardize tools, reporting, scoring procedures, communications, and processes across ESG and CoC-wide.

- Recommendation 9: General recommendation to finalize and provide clear consistent written standards for ESG and CoC programs

Q&A