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OFFICE OF COMMUNITY PLANNING AND DEVELOPMENT



FLEXIBLE RESOURCES, DATA-DRIVEN SOLUTIONS:
USING HMIS AND HEARTH TO END HOMELESSNESS

Resource Allocation and Monitoring Strategies

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Overview

A. Why Monitor?

1. Changes to McKinney-Vento Act in the HEARTH Amendments
1. Align Housing and Services with Community Needs and Community Plans
1. Resource Allocation





Overview

B. What Are Some Tools For Monitoring?

1. Policies for Monitoring and Evaluating Programs Year-Round and System-Wide
2. APR
3. HMIS
4. Self-Sufficiency Matrix
5. Using Other Tools

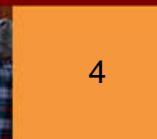




Overview

C. How Can You Use the Monitoring Results?

1. Align Housing and Services with Community Needs
1. Engage in Resource Allocation (e.g. Review and Rank)
 - Examples from CoCs
1. Respond to Changes to McKinney-Vento Act in the HEARTH Amendments





Learning Objectives

- Learn how to use the APR and other data to evaluate performance and to align projects with local needs including the CoC's Ten Year Plan
- Consider ways to use program performance to allocate resources
- Develop an understanding of different ways to engage in year-round program and system-wide evaluation and monitoring





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Why Monitor?





Why Monitor?

Changes to McKinney-Vento Act in HEARTH Amendments

- HEARTH Emphasizes
 - Prevention
 - Rapid Re-Housing
- HEARTH Focuses on Outcomes
 - CoC Funding Application will be focused on performance including:
 - Reducing lengths of homeless episodes
 - Reducing recidivism back into homelessness
 - Reducing number of people who become homeless





Why Monitor?

Changes to McKinney-Vento Act in HEARTH Amendments

- Focus on the Performance Measures now outlined in HEARTH in order to *continue* getting resources from HUD





Why Monitor?

Changes to McKinney-Vento Act in HEARTH Amendments

Criteria used for determining which programs are selected for funding include:

- The previous performance of the recipient regarding homelessness
- The quality of the plan of the recipient to reduce the number of people who become homeless
- The methodology of the priority-setting process, including the extent to which it uses outcome data



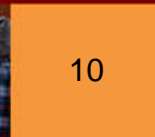


Why Monitor?

Changes to McKinney-Vento Act in HEARTH Amendments

Criteria used for determining which programs are selected for funding include:

- The extent to which the amount of assistance to be provided will be supplemented with resources from other public and private sources, including mainstream resources
- Level of coordination with other Federal, State, local, private and other entities serving individuals and families experiencing or at risk of homelessness in the planning and operation of projects
- The goals and outcomes for projects serving families with children and youth

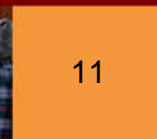




Why Monitor

Align Housing and Services with Community Needs and Community Plans

- Communities expend resources identifying needs and making Plans
- Monitor performance in order to:
 - Determine whether you are achieving intended results
 - Modify the approach or activities if you are not achieving intended results
 - Use outcome data to communicate the effectiveness of your services to funders and community





Why Monitor?

Resource Allocation

- Communities expend considerable resources obtaining and maintaining Federal, State and private funds, so funds should be targeted and used effectively
- Communities can make the best use of resources available by dedicating resources according to community priorities
- Priorities may include:
 - Certain populations or communities
 - Certain outcomes
 - Certain types/models of housing or services
 - Cost-effectiveness





Questions to Consider

- *Has your CoC developed measurable, performance-based goals that support an overall strategy to end homelessness in your community? What are some of those goals?*
- *Do you have a plan to collect data on system accomplishments to evaluate progress relative to evolving community needs?*
- *Have you developed a mutually agreeable method for allocating resources? What are some of the challenges associated with this?*





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FLEXIBLE RESOURCES, DATA-DRIVEN SOLUTIONS:
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What Are Some Tools For Monitoring?





Tools For Monitoring

- Policies about Monitoring and Evaluating Programs Year-Round and System-Wide
- Annual Progress/Performance Report (APR)
- Homeless Management Information System (HMIS)
- Self Sufficiency Matrix
- Using Other Tools





Policies about Monitoring and Evaluating Programs Year-Round and System-Wide

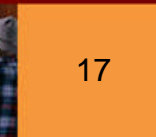
- CoCs have a year-round interest in monitoring and evaluating programs in the system.
- Some CoCs have developed policies and procedures.
- Monitoring can be a formal, periodic review or as-needed.





Evaluating Programs Year-Round and System-Wide (cont'd)

- CoC may monitor projects to ensure programs are effective and managed efficiently so the community does not lose money due to poor grant management.
- CoC can designate an individual or work group to conduct the monitoring process.
- Designated party will use risk management to indicate:
 - which areas or topics should be monitored
 - which projects/agencies require additional oversight
 - what level of monitoring is required (e.g., desk review up to and including conducting site visits if necessary and resources allow).





Example: Monitoring Policies

- One CoC found Transitional Housing Programs were struggling to place consumers in permanent housing.
- The CoC did program staff interviews and undertook an in-depth review of the strategies each provider used and the population each program served.
- The CoC also began quarterly reviews of program outcomes.
- Other programs did not receive this level of scrutiny because the annual review did not raise concerns.
- As a result of the review, the CoC identified two populations having difficulties accessing permanent housing. (We will talk later about how the CoC responded.)





Monitoring Topics

Monitoring process may require programs to provide documentation or information to address some or all of the following topics:

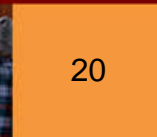
- Internal Monitoring
- Spending of Grant Funds
- Program Outcomes
- Financial Management
- Program Management
- Client Feedback





Annual Progress/Performance Report (APR)

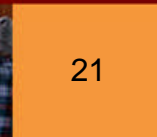
- Annual Performance Report (APR) is a HUD reporting tool to track program progress and accomplishments and inform HUD's competitive process for homeless assistance funding.
- With high data quality, the APR can be an effective management tool for homeless housing and service providers to evaluate participant demographics, program design, and service needs.





APRs provide information about:

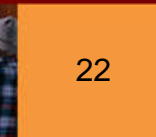
- Numbers and characteristics of people served
- Services provided
- Project outputs - why did people exit
- Project outcomes - where did people exit to, how long were they in the program, what income sources did they have at exit
- Progress - income sources and amounts at entry and exit
- Cost-effectiveness





Transition to the New APR Form

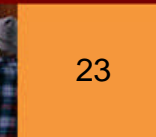
- Effective **July 1, 2010**, the current Annual Progress Report (APR, HUD-40118) will expire in 2010 and a new annual report, the Annual Performance Report (APR) will be required in its place
- New APR includes different questions and will be submitted electronically via *e-snaps*
- The APR questions are synchronized with the data collection requirements prescribed in the Revised HMIS Data Standards.
- The APR was expanded to provide more meaningful data on Clients Served and Program Performance
- Differences include:
 - Reporting information by household type and by exit status
 - More quantifiable performance measures
 - Data on disability is now required for adults and children
 - New response choices have been added to many data elements
 - Removal of reporting counts separately for chronically homeless persons





Benefits to Using APRs for Monitoring

- APRs are used by your local Continuum of Care to report to HUD annually on the progress of all CoC-funded projects.
- APR is the same report for all Continuum of Care projects allowing for fair comparisons and reliable information
- Some communities may want additional information from their programs.





Example: Using the APR for Program Assessment

San Francisco conducts annual assessments of SHP renewal projects using APR data in conjunction with client focus groups and other program information.

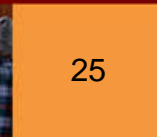
The annual assessments provide information on each program's annual outcomes, population served, reliability and responsiveness, increases in client income and access to mainstream benefits, and cost-effectiveness.





Using the APR for Assessing Access to Mainstream Benefits

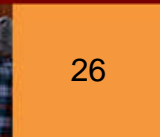
- APRs, a standard in HUD-funded communities, can provide useful information such as:
- However, APR's do not track all useful data about accessing mainstream resources





APR Exercise

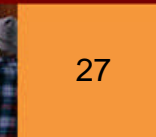
- *What information could be useful to know on a community wide basis?*
- *What factors are a concern for your community because of specific needs?*
- *What other information might you need to track to show community progress on your Ten Year Plan outcomes?*





Homeless Management Information System

- **HMIS** is a community-wide data collection software system that captures client level information over time on the characteristics and service needs of people experiencing homelessness.
- Primary purpose: aggregate data on homelessness at local and national levels to accurately describe the scope of homelessness and the effectiveness of efforts to reduce it.
- Provides significant opportunities to improve access to and delivery of services for people experiencing homelessness.
- Strengthens community planning, program monitoring, and resource allocation.
- Effective **June 1, 2010**, all HUD-required client-level data collected in HMIS must comply with the new HMIS Data Standards.



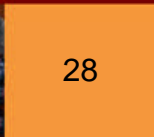


Potential Benefits of Using HMIS for Program Monitoring

HMIS information is:

- Systematically gathered
- Easy to extract
- Potentially available in real time
- Can be used to complete reports for all funders
- Permits richer, more nuanced analysis (e.g., allows you to examine whether a program is working better for some participants than others)
- Permits examination of data trends and cross year or multi-year analysis

*Community Technology Alliance presentation,
NorCal Roundtable, May 27, 2010

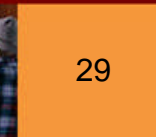




Challenges to Using HMIS for Program Monitoring

- Information must be entered routinely, accurately, and reliably (e.g., data must be coded consistently within and across programs)
- Many providers have to conquer their technology anxiety
- Providers must have access to IT help desk, training, and regular user support
- Agencies must have DIRECT ACCESS to their data
- If system not used frequently enough, data quality will suffer – the CoC must establish and promote policy

*Community Technology Alliance presentation,
NorCal Roundtable, May 27, 2010



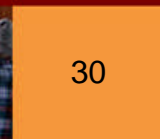
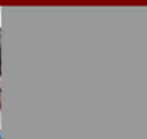


Using HMIS

Use HMIS to align Housing and Services with Community Needs/Plans by:

- Determining what you want to know FIRST and working backwards
- CoCs and individual projects can choose to collect additional data beyond the HUD data requirements

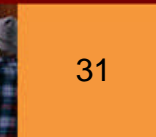
*Community Technology Alliance presentation,
NorCal Roundtable, May 27, 2010





Example: What you want to know FIRST

- If your CoC's Plan calls for increasing cost-effectiveness of transitional housing programs, you want to know:
 - How to measure effectiveness of THPs?
 - Number/percentage who move to permanent housing?
 - Number/percentage who increase income?
 - Is housing is available to those who need it?





Example: What you want to know FIRST

What do you need to track to show changes in cost-effectiveness?

- Effectiveness Factors
 - number of persons served
 - where persons exit the program
 - income at entry and exit
 - number of people in CoC who need the resource
- Cost of the full program (currently and at points in the future)

CoC may decide to collect additional information based on what it wants to know





Example: Using a Self-Sufficiency Matrix for Client Outcome Evaluation

Several communities use the **Self-Sufficiency Matrix**, a client outcome measurement tool and enter the additional data into HMIS

Self-Sufficiency Matrix scores a client's progress toward self –sufficiency in several areas:

- Housing
- Income
- Food
- Education
- Employment
- Family Relations
- Life Skills

Self-Sufficiency Matrix reveals client-level, program-level, and system-level needs.



Self Sufficiency Outcomes Matrix

Client Progress Report

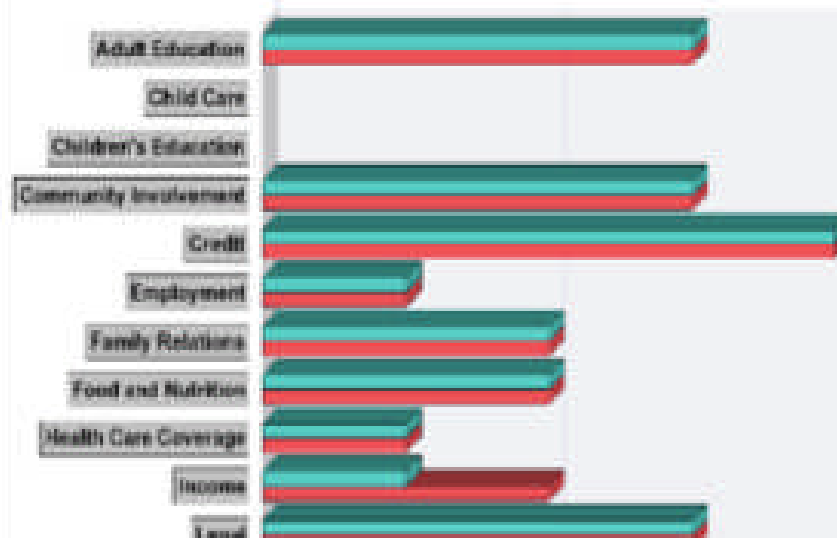
Most Recent Assessment Compared to Initial Assessment

Client: #18

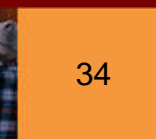
Provider: HPRP (4) - Innvision Georgia Travis Center CSJ (1833)

| Comparison of Initial and most recent assessment | | initial | most recent | change | % +/- |
|--|----------------------|---------|-------------|---------|--------|
| Date: | | 3/23/10 | 5/18/10 | 56 days | |
| Average: | | 2.93 | 3.27 | +0.33 | +0.11% |
| 1 | Shelter/Housing | 1 | 4 | +3 | +0.60% |
| 2 | Employment | 1 | 1 | 0 | n/a |
| 3 | Income | 1 | 2 | +1 | +0.20% |
| 4 | Food and Nutrition | 2 | 2 | 0 | n/a |
| 5 | Child Care | | | | |
| 6 | Children's Education | | | | |
| 7 | Adult Education | 3 | 3 | 0 | n/a |
| 8 | Health Care Coverage | 1 | 1 | 0 | n/a |
| 9 | Life Skills | 5 | 5 | 0 | n/a |

Client Gain/Losses in Self Sufficiency



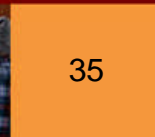
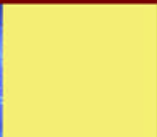
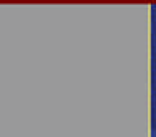
*Community Technology Alliance presentation, NorCal Roundtable, May 27, 2010





Example: Using a Self-Sufficiency Matrix

- Helps to evaluate effectiveness of homeless projects by:
 - Understanding what works & what doesn't
 - Identifying best practices
 - Shifting focus on outputs to investing in outcomes.
- Reduces the gap between knowledge and practice
- Matrix shows:
 - Which programs are effective
 - What interventions produce results
 - Where do we target investment

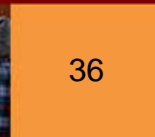
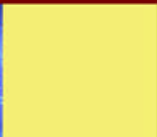
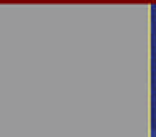




Using Other Tools

Tools some communities use:

- Monitoring committee
- Site visits
- Focus groups with consumers
- Review of budgets or financial audits
- Interviews with program staff
- Evaluation instruments that assess alignment with CoC Plan
- Tools to capture ESG and HPRP data (e.g., IDIS)

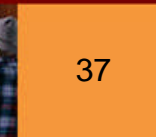




Using Other Tools

What do you want to know
about your CoC and the people you serve?

REMEMBER: Start with what you want to know and then develop the questions to ask and the methods to use.





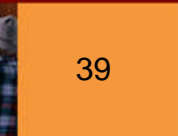
Other Related Sessions

- J 104: Performance Measurements
- WJ 105: Performance Measurement Workshop
- WJ 106: HMIS and Systems Change
- WH 103: HMIS/HEARTH Next Steps





How Can You Use Monitoring Results?





Using Monitoring Results to Align Performance with Community Needs and Plans

Monitoring results should answer:

- Are we on track to achieve our outcome targets?
- Did we achieve our proposed outcomes to the extent and within the time frame anticipated?

If either answer is no, the next question is what to do about it:

- Redesign programs?
- Extra resources?
- Reallocate existing resources?

*Community Technology Alliance presentation,
NorCal Roundtable, May 27, 2010





Using Monitoring Results to Align Performance with Community Needs and Plans Cont'd

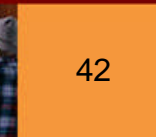
- Through monitoring, the CoC mentioned earlier, had identified two populations with access barriers to permanent housing
- In response, the CoC:
 - Advocated for additional resources for those populations
 - Identified program-level steps to improve outcomes.
- The program level steps were informed by strategies other programs cited in their monitoring visits
- Monitoring shows what is working as well as what is *not* working effectively





Using Monitoring Results for Resource Allocation

- CoCs can use monitoring results to determine how to use resources, either McKinney-Vento CoC grants or other resources in the community.
- Many communities developed effective strategies to determine how to best allocate their McKinney-Vento CoC funding based on the **Review and Rank** process.





Resource Allocation through Review and Rank

Before the 2009 competition, CoCs had a Review and Rank process because:

1. HUD required a ranked list and scored based on the Project Review and Selection Process
2. CoC could **reallocate renewal project funds** to new Permanent Housing if
 - a program was not performing adequately or
 - if the community needed permanent housing more than a renewal project.





Resource Allocation through Review and Rank

In **2009 and 2010**, HUD changed the requirements for the Review and Rank Process

- Project renewals not required to be ranked
- Re-allocation of renewal funds not allowed in 2009 (but allowed in 2010)
- Communities still expected to review project performance and management



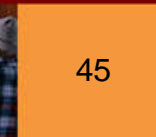


Review and Rank

- CoC Homeless Coordinator oversees project review process in many communities

In 2010:

- Project review process may lead to reallocation decisions
- CoC may reallocate funds in whole or part from SHP renewal projects to create one or more new permanent housing projects or an HMIS project
- Any decrease in budget for a renewal project is permanent and the reduced budget amount will be used for all future years





Process to Rank Projects

To ensure a fair, impartial and neutral process to review projects, CoC's will utilize different processes that may include the following steps:

- Determines funding priorities based on its strategic goals and needs of the community
- Develops application review process and tools (e.g. score sheets, definition of conflict of interest for review panel members, appellate hearing process)
- Assesses the performance of projects seeking renewal funding
- Advises community when NOFA is published and requests applications





Process to Rank Projects (cont'd)

- Advises potential applicants of application process, application materials required and timeline
- Convenes qualified, non-conflicted, oriented application review panel members to review and score applications
- Publishes results to applicants with reminder of appellate process
- Convenes appellate hearings before non-conflicted panel
- Determines projects that will be submitted
- Gives feedback to applicants on quality of application, ways to improve
- Debriefs the process to improve for next year





Examples of Scoring Factors

To meet HUD's goals and their own, CoCs may use these methods to assess project(s) performance, effectiveness, and quality:

- Review CoC Monitoring Findings
- Review HUD Monitoring Findings
- Review Independent Audit
- Review HUD Annual Progress Report
- Review Unexecuted Grants
- Conduct Site Visit(s)
- Survey Clients
- Evaluate Project Readiness





Example: Contra Costa County

The review and rank process in Contra Costa County includes a review panel, made up of people familiar with the projects (to facilitate discussion), who review all applications.

The Project Review and Selection Process draws information from:

- CoC Monitoring Findings
- HUD Monitoring Findings
- Financial audits
- HUD APR
- Site visits
- Client feedback
- Assess spending (fast or slow)
- HMIS





Example: Contra Costa County

The Panel focused on discerning which projects to sustain, then identified ways to strengthen those projects by asking:

What barriers are you facing?

What help do you need?

What are your next steps?

Are you having difficulties with:

- Fundraising?
- Staff turnover?
- Long-term strategic planning?
- Sustainability?

The CoC created a “HUD Grantees Committee” to address the issues raised during the review process.





Example: Chicago

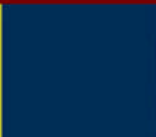
- HUD's Continuum of Care homeless assistance programs serve as the largest single source of funding for homeless services in Chicago
- Chicago uses HUD funding to support over 140 programs for homeless individuals and families
- *The Chicago Alliance* staffs their review and rank process, with oversight provided by the *Chicago Planning Council on Homelessness*
 - Where to find Chicago's Evaluation Instruments - <http://www.thechicagoalliance.org/nofa.aspx>





Example: Chicago

- Prior to the release of the Continuum of Care NOFA by HUD, Chicago performs its own evaluation of renewal and new projects through two simultaneous processes.
- For Supportive Housing Program (SHP) renewal projects, agencies complete and submit the **evaluation instrument**, which is a tool used to evaluate each program.
 - (can be found at <http://www.thechicagoalliance.org/nofa.aspx>)
- Evaluation instrument applications are then scored by independent evaluators.
- New projects are prioritized for HUD funding through ranking policies set by the Chicago Planning Council on Homelessness.





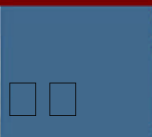
Example: Chicago

Evaluation instruments draw information from HUD factors:

- APR
- HUD monitoring findings
- HMIS participation
- Client surveys

Evaluation instruments also ask questions to determine how well programs are aligning their work with Chicago's Ten Year Plan:

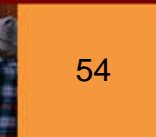
- Where the program is located (CoC meeting community needs?)
- Client focus and consumer representation
- Alignment of program's outcomes with the Plan outcomes
- Innovative and flexible service delivery, with emphasis on open eligibility criteria
- Facility and program accessibility to ensure disabled clients are not discriminated against
- Project staff development and support
- Continuous quality improvement





Example: San Francisco

- CoC is overseen by the Local Homeless Coordinating Board, appointed by local government entities.
- The Board ensures that all projects receiving funding comply with the CoC Plan.
- Projects that do not comply or agree to change design to comply are considered for reallocation.





Example: San Francisco

In 2010, all renewal projects underwent a **monitoring assessment** including:

- APR analysis
- Program interviews
- Client focus groups and surveys

Information gathered during monitoring assessments informs Board's decisions and activities for the coming year.

Renewal projects also receive a monitoring **threshold review**. To continue to receive funding, each renewal project has to meet a minimal level of performance.

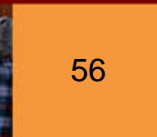




Example: San Francisco

Board requires all new project applications to:

- Meet HUD standards
- Target certain populations
- Use all funding for leasing, operations or administration (no services, construction, rehabilitation or acquisition because those activities do not make best use of HUD resources)
- Be compliant with the CoC Strategic Plan





Example: Small Community

- CoC with 6-8 projects
- Too small to have a formal review and rank process
- Instead, it has an Annual Evaluation Process
 - The projects are reviewed by a non-conflicted panel of community members who are familiar with housing and homelessness issues; use APR data, grant application
 - The process is not punitive (since it would not make sense to re-allocate funding in such a small community)
 - Instead, this community uses the Evaluation as a Strengthening Tool
 - Goal: What can the Continuum do to:
 - 1) better support these projects in achieving better outcomes for their clients
 - 2) help each project align better with the Ten-Year Plan

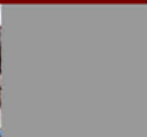




Other Resources to Allocate

Some CoCs also determine how other resources are allocated:

- HPRP
- Local subsidies
- Local funding



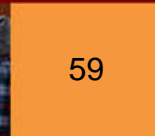
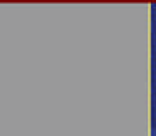


Using Monitoring Data to Respond to HEARTH

CoCs may need to increase outcome measurement under
HEARTH

If a CoC becomes a United Funding Agency (UFA), it will
take on additional responsibilities for:

- project oversight
- monitoring
- financial management





Questions?

If you have any additional questions please
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