

C.4

Procedures for Monitoring and Evaluating CoC-Funded Projects

I. Evaluation - In General

- A. Responsibility for Evaluation. Under the supervision of the Collaborative Applicant and with the help and guidance of the Recipient Approval and Evaluation Committee, the CoC Planner will monitor and evaluate the performance of CoC-funded projects and their compliance with funding requirements.
- B. Evaluation Methods. The CoC Planner will use the following methods to monitor the performance and compliance of projects:
 - 1. Quarterly Reports (Quarterly APRs and Quarterly Status Reports);
 - 2. Final Annual Performance Reports (APRs);
 - 3. Audits, monitoring reports, and any responses to those audits and reports; and
 - 4. Annual site visits.

II. Quarterly Reporting

- A. Quarterly APRs. To ensure that recipients are meeting relevant performance targets, HMIS will submit quarterly APRs on each CoC-funded project as follows: .
 - 1. With the exception of the final APR covering the entire grant period which must be submitted as prescribed in Section III below, APR data will be compiled by HMIS and submitted to the CoC Planner and the project for which the APR is providing data, by the fourth Tuesday of the month following the end of each quarter of the grant period.
 - 2. APRs will be cumulative, covering all quarters of the grant period that have ended before the report's due date.
- B. Quarterly Status Report Forms. In collaboration with recipients, the CoC Planner will develop for the approval of the Recipient Approval and Evaluation Committee and the HCCSC Board, a status report form which will be used to solicit information needed to ensure that recipients are operating efficiently and otherwise satisfying program requirements.
- C. Quarterly Status Reports. Using the approved form, recipients will be required to submit quarterly status reports for each CoC-funded project as follows:
 - 1. Status reports will be due to the CoC Planner by the 15th of the month following the receipt of the quarterly APR from HMIS.
 - 2. Each report will be cumulative, covering all quarters of the grant period that have ended before the report's due date.

C.4

D. Status Report Reminders. At least 30 days before an organization is scheduled to submit a status report, the CoC Planner will send a reminder by e-mail to the CEO and the listed contact person for the organization. The e-mail will include the date the report is due along with a copy of the report form and instructions for submitting the form.

III. Annual Performance Reports to HUD (APRs)

A. Submission of APR Draft. Within 60 days after the end of a project's grant period, the recipient must submit a draft of its HUD-required APR for the project to the CoC Planner, with certification that the HMIS has approved of the APR. Within 10 days after receiving the APR, the CoC Planner will:

1. Review the report to ensure that it is complete and free from errors and omissions that would reflect poorly on the HCCSC or contribute to an inaccurate picture of its performance as a system; and
2. Send a letter to the recipient outlining any questions or concerns raised by the report.

B. Submission of Final APR. Within 10 days of submitting the final version of an APR on *e-snaps*, a CoC recipient must send a copy of that final report to the CoC Planner.

IV. Audits and Monitoring Reports. Along with each required status report and APR, recipients must submit to the CoC Planner a copy of any financial audits and program audits or monitoring reports they have received from HUD or any other source since their last submission and any responses they have prepared to those audits or reports.

V. Annual Site Visits

A. Timing and Scheduling of Site Visits

1. The CoC Planner will conduct an annual site visit with each recipient. In cases where a recipient operates more than one CoC-funded project, the CoC Planner may schedule two or more site visits as necessary to effectively monitor all of the projects.
2. Normally, a site visit will occur approximately 6 months after the beginning of the recipient's grant year. However, it may occur sooner if status reports indicate a need for earlier intervention. In cases where a recipient operates two or more CoC-funded projects with different grant years and the CoC Planner chooses to conduct a single site visit to monitor these projects, the planner will determine the timing of the visit based all relevant factors, including the prior performance of each project that will be monitored and the HCCSC's need for timely information about each.
3. The CoC Planner will contact a recipient to schedule a site visit 30 days before a visit is due and send to the recipient a copy of the monitoring form that the planner will be using, identifying sections of the form that the recipient must complete before the visit.

C.4

B. Purpose of the Visit

During the site visit, the CoC Planner will check the items identified on the monitoring form to ensure that the recipient is meeting all HCCSC requirements as well as HUD's recordkeeping requirements and all other federal regulations pertaining to CoC funding.

C. Notice of Deficiencies

Following the site visit, the CoC Planner will give the recipient a copy of the monitoring form reflecting any notes taken during the visit. In addition, the recipient will receive a letter from the CoC Planner citing any deficiencies noted during the visit and requesting:

1. An explanation for each cited deficiency; and
2. A plan for correcting each deficiency.

VI. Role of the Recipient Approval and Evaluation Committee

A. Regular Meetings to Assess Project Performance. The Recipient Approval and Evaluation Committee will meet at least quarterly to receive feedback from the CoC Planner on status reports, APRs, audits and monitoring reports, and the results of site visits in order to determine whether projects are meeting performance goals and other expectations.

B. Notice to Poor Performers. In the event that a project (1) is not meeting performance goals; (2) did not provide a sufficient explanation for deficiencies identified during a site visit; or (3) did not follow the plan approved by the CoC Planner for correcting such a deficiency, the committee will re-evaluate concerns about the project's performance and, at its discretion, instruct the CoC Planner to send a letter to the fund recipient requesting other or additional correction measures.

C. Assistance to Poor Performers. The HCCSC, through the CoC Planner and Recipient Approval and Evaluation Committee, will provide reasonable assistance to underperforming recipients by, among other things:

1. Directing them to other providers that are achieving better results;
2. Directing them to research, webinars, websites, and other resources that could provide useful information and instruction; and
3. In cases where poor performance in a particular area is common among HCCSC providers, sponsoring or helping to arrange relevant training sessions for them.

D. Action in the Case of Persistent Poor Performance

If, after a recipient has received notices of poor performance over two grant years and, in the judgment of the Recipient Approval and Evaluation Committee, has made insufficient progress in correcting its deficiencies, the committee may, depending on the severity of the deficiencies:

C.4

1. Notify HUD of the facts supporting the concerns about the recipient's poor performance;
and
2. Request HUD's assistance in working with the recipient to determine whether (a) performance issues can be resolved; (b) the project or projects in question should be transferred to another agency; or (c) funds should be reallocated in accordance with most current HUD guidelines.