Before Starting the CoC Application

The CoC Consolidated Application is made up of two parts: the CoC Application and the CoC Priority Listing, with all of the CoC's project applications either approved and ranked, or rejected. The Collaborative Applicant is responsible for submitting both the CoC Application and the CoC Priority Listing in order for the CoC Consolidated Application to be considered complete.

 The Collaborative Applicant is responsible for:

 1. Reviewing the FY 2017 CoC Program Competition NOFA in its entirety for specific application and program requirements.

 2. Ensuring all questions are answered completely.

 3. Reviewing the FY 2017 CoC Consolidated Application Detailed Instructions, which gives additional information for each question.

4. Ensuring all imported responses in the application are fully reviewed and updated as needed.

 5. The Collaborative Applicant must review and utilize responses provided by project applicants in their Project Applications.

 6. Some questions require the Collaborative Applicant to attach documentation to receive credit for the question. This will be identified in the question.

 - Note: For some questions, HUD has provided documents to assist Collaborative Applicants in filling out responses. These are noted in the application.
 - All questions marked with an asterisk (*) are mandatory and must be completed in order to submit the CoC Application.

For CoC Application Detailed Instructions click here.

1A. Continuum of Care (CoC) Identification

Instructions:

For guidance on completing this application, please reference the FY 2017 CoC Application Detailed Instructions and the FY 2017 CoC Program Competition NOFA. Please submit technical questions to the HUD Exchange Ask A Question.

1A-1. CoC Name and Number: AZ-500 - Arizona Balance of State CoC

1A-2. Collaborative Applicant Name: Arizona Department of Housing

1A-3. CoC Designation: CA

1A-4. HMIS Lead: Arizona Department of Housing

1B. Continuum of Care (CoC) Engagement

Instructions:

For guidance on completing this application, please reference the FY 2017 CoC Application Detailed Instructions and the FY 2017 CoC Program Competition NOFA. Please submit technical questions to the HUD Exchange Ask A Question.

1B-1. From the list below, select those organization(s) and/or person(s) that participate in CoC meetings. Using the drop-down boxes, indicate if the organization(s) and/or person(s): (1) participate in CoC meetings; and (2) vote, including selection of CoC Board members. Responses should be for the period from 5/1/16 to 4/30/17.

Organization/Person Categories	Participates in CoC Meetings	Votes, including electing CoC Board Members
Local Government Staff/Officials	Yes	Yes
CDBG/HOME/ESG Entitlement Jurisdiction	No	No
Law Enforcement	Yes	Yes
Local Jail(s)	Yes	Yes
Hospital(s)	Yes	Yes
EMT/Crisis Response Team(s)	Yes	Yes
Mental Health Service Organizations	Yes	Yes
Substance Abuse Service Organizations	Yes	Yes
Affordable Housing Developer(s)	Yes	Yes
Disability Service Organizations	No	No
Disability Advocates	No	No
Public Housing Authorities	Yes	Yes
CoC Funded Youth Homeless Organizations	Not Applicable	No
Non-CoC Funded Youth Homeless Organizations	Yes	Yes
Youth Advocates	Yes	Yes
School Administrators/Homeless Liaisons	No	No
CoC Funded Victim Service Providers	Yes	Yes
Non-CoC Funded Victim Service Providers	Yes	Yes
Domestic Violence Advocates	Yes	Yes
Street Outreach Team(s)	Yes	Yes
Lesbian, Gay, Bisexual, Transgender (LGBT) Advocates	No	No
LGBT Service Organizations	Yes	Yes
Agencies that serve survivors of human trafficking	No	No
Other homeless subpopulation advocates	Yes	Yes
Homeless or Formerly Homeless Persons	Yes	Yes
Other:(limit 50 characters)		

Organizations serving Veterans	Yes	Yes
Community College	Yes	Yes
Faith Based Organizations and Churches	Yes	Yes

Applicant must select Yes, No or Not Applicable for all of the listed organization/person categories in 1B-1.

1B-1a. Describe the specific strategy(s) the CoC uses to solicit and consider opinions from organizations and/or persons that have an interest in preventing or ending homelessness.
(limit 1000 characters)

Multiple AZBOSCoC systems solicit and consider feedback from homeless stakeholders. AZBOSCoC's Governance Advisory Board's (GAB) 11 members, representing diverse interests, geographies and demographics, meet regularly on planning and goals. AZBOSCoC also holds open quarterly meetings of CoC chartered Local Coalitions to End Homelessness (LCEH) lead agencies, one of which is held at the AZ Homeless Conference attended by 500+ individuals and organizations. LCEHs function in 9 of 13 BOS counties covering approximately 90% of the CoC's population and area. They include over 200 local representatives of veteran groups, Regional Behavioral Health Authorities (RBHA), government, advocates, DV providers, law enforcement, faith groups, CoC and non-CoC agencies. AZBOSCoC/ADOH staff communicate with state agency partners and solicit public feedback. Topics at all levels include system coordination, CoC membership, strategic planning, HMIS data, resources, and housing strategies.

1B-2. Describe the CoC's open invitation process for soliciting new members, including any special outreach.
(limit 1000 characters)

Membership is an open process for all levels of AZBOSCoC Governance. Locally, LCEH membership is open to all interested stakeholders. LCEHs elect their leadership and vote on local governance and implementation issues. LCEH and LCEH lead agency meetings are used to publicize and identify openings and needs for the GAB 11-member board and to identify interested candidates. GAB, the leadership group and LCEH membership processes authorize special outreach to recruit specific geographic/demographic representation, cultural competency and/or key stakeholder participation. In these cases, GAB members, LCEH lead agencies, LCEH membership groups and AZBOSCoC staff identify relevant stakeholders from existing governance participants and/or community representatives for nomination to the GAB or other appropriate CoC body or committee. Membership processes are included in GAB and LCEH charters/governance documents.

1B-3. Describe how the CoC notified the public that it will accept and consider proposals from organizations that have not previously received CoC Program funding in the FY 2017 CoC Program Competition, even if the CoC is not applying for new projects in FY 2017. The response must include the date(s) the CoC made publicly knowing they were open to

proposals.
(limit 1000 characters)

AZBOSCoC notifies organizations that had not previously received CoC funding by: a)formal announcement on 8/11/17 of funding made through ADOH's Housing Bulletin emailed and publicly posted on ADOH's website that goes to organizations interested in homeless and/or housing issues; b) announcements at the AZBOSCoC LCEH Quarterly lead agency meetings; c) presentations at statewide LCEH meetings attended by non-CoC agencies and providers; and d) NOFA announced to other state agencies and programs including AZ Department of Economic Security (DES) (AZBOSCoC area ESG Administrator), the VA and RBHA's to be shared with their service networks many of which are non-CoC funded. These strategies notified numerous statewide, public and private, and non-CoC housing developers, service providers and other organizations of NOFA opportunities. CBI, a new provider will be serving Gila County which has not had housing units through the CoC previously if the bonus application is approved.

1C. Continuum of Care (CoC) Coordination

Instructions:

For guidance on completing this application, please reference the FY 2017 CoC Application Detailed Instructions and the FY 2017 CoC Program Competition NOFA. Please submit technical questions to the HUD Exchange Ask A Question.

1C-1. Using the chart below, identify the Federal, State, Local, Private and Other organizations that serve homeless individuals, families, unaccompanied youth, persons who are fleeing domestic violence, or those at risk of homelessness that are included in the CoCs coordination; planning and operation of projects.
Only select "Not Applicable" if the funding source(s) do not exist in the CoC's geographic area.

Entities or Organizations the CoC coordinates planning and operation of projects	Coordinates with Planning and Operation of Projects
Housing Opportunities for Persons with AIDS (HOPWA)	Yes
Temporary Assistance for Needy Families (TANF)	Yes
Runaway and Homeless Youth (RHY)	Yes
Head Start Program	Yes
Housing and service programs funded through Department of Justice (DOJ) resources	Yes
Housing and service programs funded through Health and Human Services (HHS) resources	Yes
Housing and service programs funded through other Federal resources	Yes
Housing and service programs funded through state government resources	Yes
Housing and service programs funded through local government resources	Yes
Housing and service programs funded through private entities, including foundations	Yes
Other:(limit 50 characters)	

1C-2. Describe how the CoC actively consults with Emergency Solutions Grant (ESG) recipient's in the planning and allocation of ESG funds. Include in the response: (1) the interactions that occur between the CoC and the ESG Recipients in the planning and allocation of funds; (2) the CoCs participation in the local Consolidated Plan jurisdiction(s) process by providing Point-in-Time (PIT) and Housing Inventory Count (HIC) data to the Consolidated Plan jurisdictions; and (3) how the CoC ensures local homelessness information is clearly communicated and addressed in Consolidated Plan updates.
(limit 1000 characters)

Since 2015, AZBOSCoC lead, ADOH, and AZDES, ESG Recipients for BOSCoC communities, hold bi-weekly coordination meetings. Accomplishments include: a) DES/ESG representation on the AZBOSCoC GAB and CoC Ranking

and Review panel and ADOH/CoC representation in ESG Consolidated planning; b) CoC System Performance Measures (SPM) incorporated in ESG reporting; c) ESG contracts require participation in CE, HMIS data sharing and other CoC initiatives; and d) joint review of co-funded agencies/projects. Representatives attend the others' community/provider meetings to gather feedback on Consolidated Plans, gaps, funding and system design issues. ADOH/AZBOSCoC and DES/ESG recently began a resource mapping/gaps analysis process to compare allocations of CoC/ESG, and non-CoC/ESG funds to PIT, HMIS and HIC data for improved ESG consolidated planning and CoC funding prioritization. The AZBOSCoC shares HIC, PIT and HMIS reporting with DES/ESG including reporting by local jurisdictions.

**1C-3. CoCs must demonstrate the local efforts to address the unique needs of persons, and their families, fleeing domestic violence that includes access to housing and services that prioritizes safety and confidentiality of program participants.
(limit 1000 characters)**

Last year, 3.7% (229 of 6,266) of AZBOSCoC homeless persons were fleeing domestic violence (DV). The needs of persons and families fleeing DV are coordinated with LCEH non-CoC DV resources since AZBOSCoC has one CoC DV project. All counties with CE and LCEH meetings incorporate local DV programs into service coordination processes and incorporate VAWA and HUD requirements into their operations. DV screening is part of CoC CE/HMIS intake including in the VI-SPDAT assessment tool. If the household/person identifies the need for DV services, CE intake workers ensure there is a safety plan and HMIS DV confidentiality protocols are followed while connecting them to local DV services/shelter for DV services such as DV shelter, legal aid or school coordination. DV providers participate in local case conferencing (subject to confidentiality) to ensure service and housing prioritization. ADOH sits with AZCADSV on the AZ State Agency Coordination Team to coordinate state-wide strategies.

**1C-3a. CoCs must describe the following: (1) how regular training is provided to CoC providers and operators of coordinated entry processes that addresses best practices in serving survivors of domestic violence; (2) how the CoC uses statistics and other available data about domestic violence, including aggregate data from comparable databases, as appropriate, to assess the scope of community needs related to domestic violence and homelessness; and (3) the CoC safety and planning protocols and how they are included in the coordinated assessment.
(limit 1,000 characters)**

AZBOSCoC, HMIS, and its CE processes comply with VAWA and HUD requirements including confidentiality. DV screening, service coordination, safety and planning policies protocols are incorporated into local LCEH DV compliant policies and procedures. (1) CE providers in AZBOSCoC receive training in DV protocols and services from local resources and/or the AZ Coalition to End Sexual and Domestic Violence (AZCESDV). In the next year, AZBOSCoC will adopt further standard DV policies as CE efforts expand. (2) No AZBOSCoC programs are currently aggregating information from a comparable DV database with HMIS. AZCESDV is consulting with DV programs to

implement a possible comparable database. (3) Local CE includes polices for DV screening, safety planning and confidentiality of information. While no data sharing with CE takes place due to DV confidentiality, local case conferencing includes protocols for local DV providers to prioritize and coordinate housing for DV victims within CE.

1C-4. Using the chart provided, for each of the Public Housing Agency's (PHA) in the CoC's geographic area: (1) identify the percentage of new admissions to the Public Housing or Housing Choice Voucher (HCV) Programs in the PHA's that were homeless at the time of admission; and (2) indicate whether the PHA has a homeless admission preference in its Public Housing and/or HCV program.
Attachment Required: If the CoC selected, "Yes-Public Housing", "Yes-HCV" or "Yes-Both", attach an excerpt from the PHA(s) written policies or a letter from the PHA(s) that addresses homeless preference.

Public Housing Agency Name	% New Admissions into Public Housing and Housing Choice Voucher Program during FY 2016 who were homeless at entry	PHA has General or Limited Homeless Preference
Yuma City Housing Authority	11.00%	Yes-HCV
Flagstaff Housing Authority	6.00%	Yes-HCV
Yuma County Housing Authority	0.00%	No
Pinal County Housing Authority	6.00%	No
Housing Authority of Cochise County	0.00%	Yes-HCV

If you select "Yes--Public Housing," "Yes--HCV," or "Yes--Both" for "PHA has general or limited homeless preference," you must attach documentation of the preference from the PHA in order to receive credit.

1C-4a. For each PHA where there is not a homeless admission preference in their written policies, identify the steps the CoC has taken to encourage the PHA to adopt such a policy.
(limit 1000 characters)

Through local and AZBOSCoC efforts, at least 20% of 15 AZBOSCoC's PHAs have homeless admission preferences in their public housing and/or HCV programs. AZBOSCoC PHAs serve diverse communities with unique circumstances requiring local strategies to adopt homeless preferences. Efforts to date include placing a County PHA Director on the GAB and outreach by ADOH's Special Needs Director to PHA Directors. AZBOSCoC also work with LCEH stakeholders including governmental leadership to educate and promote local advocacy to adopt homeless admission preferences in support of local CE and housing efforts. AZBOSCoC is also working within HMIS and LCEHs to produce local/county SPM reports and dashboards, by name lists, HIC and PIT data to identify local needs and gaps to support local preference advocacy. AZBOSCoC RHBAs created a Bridge Funding Program to provide bridge housing for homeless/disabled persons waiting PHA/HCV vouchers as incentive for PHA adoption of local homeless preferences.

1C-5. Describe the actions the CoC has taken to: (1) address the needs of Lesbian, Gay, Bisexual, Transgender (LGBT) individuals and their families experiencing homelessness, (2) conduct regular CoC-wide training with providers on how to effecctively implement the Equal Access to Housing in HUD Programs Regardless of Sexual Orientation or Gender Idenity, including Gender Identify Equal Access to Housing, Fina Rule; and (3) implementation of an anti-discrimination policy.
(limit 1000 characters)

(1) In at least two LCEHs, LGBT advocates participate in LCEH meetings and committees. LCEH meetings in many communities without LGBT advocates have included organizations that may indirectly serve local homeless LGBT populations within their larger services including HOPWA, HIV/AIDS programs and youth service providers. The AZBOSCoC GAB also includes LGBT representation. There are limited LGBT advocacy or provider organizations in the AZBOSCoC geographic area. Identifying and developing additional partnerships and resources will be a priority in the current calendar year. (2) Effective October 26, 2016, AZBOSCoC adopted the HUD final rule, "Equal Access in Accordance with an Individual's Gender Identity in Community Planning and Development Programs" and CoC planning funds are being requested to secure statewide LGBT/non-discrimination training. (3) AZBOSCoC has adopted anti-discrimination policies and procedures and incorporated them into sub-recipient contracts

1C-6. Criminalization: Select the specific strategies implemented by the CoC to prevent the criminalization of homelessness in the CoC's geographic area. Select all that apply.

Engaged/educated local policymakers:	X
Engaged/educated law enforcement:	X
Engaged/educated local business leaders	X
Implemented communitywide plans:	
No strategies have been implemented	
Other:(limit 50 characters)	
Elected officials attend local CoC meetings	X
Outreach-jails prevent persons released to streets	X
Law Enforcement/County Sheriffs attend local CoC	X

1D. Continuum of Care (CoC) Discharge Planning

Instructions:

For guidance on completing this application, please reference the FY 2017 CoC Application Detailed Instructions and the FY 2017 CoC Program Competition NOFA. Please submit technical questions to the HUD Exchange Ask A Question.

1D-1. Discharge Planning-State and Local: Select from the list provided, the systems of care the CoC coordinates with and assists in state and local discharge planning efforts to ensure those who are discharged from that system of care are not released directly to the streets, emergency shelters, or other homeless assistance programs. Check all that apply.

Foster Care:	X
Health Care:	X
Mental Health Care:	X
Correctional Facilities:	X
None:	

**1D-1a. If the applicant did not check all the boxes in 1D-1, provide: (1) an explanation of the reason(s) the CoC does not have a discharge policy in place for the system of care; and (2) provide the actions the CoC is taking or plans to take to coordinate with or assist the State and local discharge planning efforts to ensure persons are not discharged to the street, emergency shelters, or other homeless assistance programs.
(limit 1000 characters)**

The AZBOSCoC LCEH have outreached and engaged with representatives for these areas as well in order to establish local procedures. An example includes--OCCAC in rural NE Arizona is working with probation officers so that individuals being released have a plan for housing and services. The Housing Program Managers for the Regional Behavioral Authorities in the AZBOSCoC counties are now members of the AZBOSCoC Governance Advisory Board. This has resulted in policy changes related to use of HMIS and local coordinated entry systems. In Coconino County, Catholic Charities also recruits and trains foster parents. As a result of this connection, Catholic Charities works closely with Arizona Department of Child Safety so that youth transitioning out of foster care have a plan for independent housing.   ADOH is working with the Department of Corrections on a aggregate level data sharing agreement and is exploring a RRH program (state funded) for individuals being released from incarceration.

1D-2. Discharge Planning: Select the system(s) of care within the CoC's geographic area the CoC actively coordinates with to ensure persons who have resided in any of the institutions listed below longer than 90 days are not discharged directly to the streets, emergency shelters, or other homeless assistance programs. Check all that apply.

Foster Care:	X
Health Care:	X
Mental Health Care:	X
Correctional Facilities:	X
None:	

1E. Continuum of Care (CoC) Project Review, Ranking, and Selection

Instructions

For guidance on completing this application, please reference the FY 2017 CoC Application Detailed Instructions and the FY 2017 CoC Program Competition NOFA. Please submit technical questions to the HUD Exchange Ask A Question.

1E-1. Using the drop-down menu, select the appropriate response(s) that demonstrate the process the CoC used to rank and select project applications in the FY 2017 CoC Program Competition which included (1) the use of objective criteria; (2) at least one factor related to achieving positive housing outcomes; and (3) included a specific method for evaluating projects submitted by victim service providers.

Attachment Required: Public posting of documentation that supports the process the CoC used to rank and select project application.

Used Objective Criteria for Review, Rating, Ranking and Section	Yes
Included at least one factor related to achieving positive housing outcomes	Yes
Included a specific method for evaluating projects submitted by victim service providers	No

1E-2. Severity of Needs and Vulnerabilities
CoCs must provide the extent the CoC considered the severity of needs and vulnerabilities experienced by program participants in their project ranking and selection process. Describe: (1) the specific vulnerabilities the CoC considered; and (2) how the CoC takes these vulnerabilities into account during the ranking and selection process. (See the CoC Application Detailed Instructions for examples of severity of needs and vulnerabilities.)
(limit 1000 characters)

(1) AZBOSCoC uses the VI-SPDAT to prioritize persons for CE and housing based on need severity and vulnerabilities. VI-SPDAT identified vulnerabilities include substance abuse, legal barriers, physical and mental health. AZBOSCoC adopted HUD CPD 16-11 in PH to address need severity and vulnerability. The ADOH sub-recipient contract requires CH to be prioritized for PH and the CoC prioritizes overall VI-SPDAT acuity. RRH and TH also take highest VI-SPDAT scores/acuity. AZBOSCoC requires potential sub-recipients to demonstrate Housing First implementation. (2) NOFA ranking & review (R&R) process evaluated and scored projects for their % of accepted CE prioritized persons and Housing First to prioritize projects serving persons with highest severity needs. The R&R tool recognized projects that target or increase service to chronic homeless as well. AZBOSCoC monitoring verifies prioritization of high service needs and vulnerabilities and Housing First

adherence of funded projects.

1E-3. Using the following checklist, select: (1) how the CoC made publicly available to potential project applicants an objective ranking and selection process that was used for all project (new and renewal) at least 2 days before the application submission deadline; and (2) all parts of the CoC Consolidated Application, the CoC Application attachments, Priority Listing that includes the reallocation forms and Project Listings that show all project applications submitted to the CoC were either accepted and ranked, or rejected and were made publicly available to project applicants, community members and key stakeholders.

Attachment Required: Documentation demonstrating the objective ranking and selections process and the final version of the completed CoC Consolidated Application, including the CoC Application with attachments, Priority Listing with reallocation forms and all project applications that were accepted and ranked, or rejected (new and renewal) was made publicly available. Attachments must clearly show the date the documents were publicly posted.

Public Posting	
CoC or other Website	X
Email	X
Mail	
Advertising in Local Newspaper(s)	
Advertising on Radio or Television	
Social Media (Twitter, Facebook, etc.)	

1E-4. Reallocation: Applicants must demonstrate the ability to reallocate lower performing projects to create new, higher performing projects. CoC's may choose from one of the following two options below to answer this question. You do not need to provide an answer for both.

Option 1: The CoC actively encourages new and existing providers to apply for new projects through reallocation.
Attachment Required - Option 1: Documentation that shows the CoC actively encouraged new and existing providers to apply for new projects through reallocation.

Option 2: The CoC has cumulatively reallocated at least 20 percent of the CoC's ARD between FY 2013 and FY 2017 CoC Program Competitions.
No Attachment Required - HUD will calculate the cumulative amount based on the CoCs reallocation forms submitted with each fiscal years Priority Listing.

Reallocation: Option 1

Attachment Required - provide documentation that shows the CoC actively encouraged new and existing providers to apply for new projects through reallocation.

1E-5. If the CoC rejected or reduced project application(s), enter the date the CoC and Collaborative Applicant notified project applicants their project application(s) were being rejected or reduced in writing outside of e-snaps.   09/13/2017

Attachment Required: Copies of the written notification to project applicant(s) that their project application(s) were rejected. Where a project application is being rejected or reduced, the CoC must indicate the reason(s) for the rejection or reduction.

1E-5a. Provide the date the CoC notified applicant(s) their application(s) were accepted and ranked on the Priority Listing, in writing, outside of e-snaps.   09/13/2017

Attachment Required: Copies of the written notification to project applicant(s) their project application(s) were accepted and ranked on the Priority listing.

Reallocation Supporting Documentation

Attachment Required - provide documentation that shows the CoC actively encouraged new and existing providers to apply for new projects through reallocation.

Document Type	Required?	Document Description	Date Attached
Reallocation Supporting Documentation	No	Option 1 Realloca...	09/26/2017

Attachment Details

Document Description: Option 1 Reallocation Supporting

2A. Homeless Management Information System (HMIS) Implementation

Intructions:

For guidance on completing this application, please reference the FY 2017 CoC Application Detailed Instructions and the FY 2017 CoC Program Competition NOFA. Please submit technical questions to the HUD Exchange Ask A Question.

2A-1. Does the CoC have in place a Governance Charter or other written documentation (e.g., MOU/MOA) that outlines the roles and responsibilities of the CoC and HMIS Lead?   Yes

Attachment Required: If "Yes" is selected, a copy of the sections of the Governance Charter, or MOU/MOA addressing the roles and responsibilities of the CoC and HMIS Lead.

2A-1a. Provide the page number(s) where the roles and responsibilities of the CoC and HMIS Lead can be found in the attached document(s) referenced in 2A-1. In addition, indicate if the page number applies to the Governance Charter or MOU/MOA.   Governance Charter Page 5

2A-2. Does the CoC have a HMIS Policies and Procedures Manual? Attachment Required: If the response was "Yes", attach a copy of the HMIS Policies and Procedures Manual.   Yes

2A-3. What is the name of the HMIS software vendor?   Medaware (formerly Bowman)

2A-4. Using the drop-down boxes, select the HMIS implementation Coverage area.   Single CoC

2A-5. Per the 2017 HIC use the following chart to indicate the number of beds in the 2017 HIC and in HMIS for each project type within the CoC. If a particular project type does not exist in the CoC then enter "0" for all cells

in that project type.

Project Type	Total Beds in 2017 HIC	Total Beds in HIC Dedicated for DV	Total Beds in HMIS	HMIS Bed Coverage Rate
Emergency Shelter (ESG) beds	836	352	407	84.09%
Safe Haven (SH) beds	0	0	0	
Transitional Housing (TH) beds	191	0	191	100.00%
Rapid Re-Housing (RRH) beds	147	0	139	94.56%
Permanent Supportive Housing (PSH) beds	1,179	0	650	55.13%
Other Permanent Housing (OPH) beds	0	0	0	

2A-5a. To receive partial credit, if the bed coverage rate is below 85 percent for any of the project types, the CoC must provide clear steps on how it intends to increase this percentage for each project type over the next 12 months.
(limit 1000 characters)

AZBOSCoC HMIS bed coverage rates for PH for households w/ and w/o children was below the required 85% threshold due to VA permanent housing beds operated by the Northern Arizona and Southern Arizona VA Health Care Systems (NAVAHC and SAVAHC) projects not being included in HMIS yet. These beds represent over 95% of uncovered HMIS PH beds. At the time of HIC submission, neither NAVAHC, nor SAVAHC had secured VA approval to join HMIS although their PH units were identified and included in the HIC. AZBOSCoC and ADOH have secured VA approval from both NAVAHC and SAVAHC to join AZBOSCoC's HMIS system in the next three to six months, AZBOSCoC/ADOH as HMIS Lead Agency will work to operationalize HMIS in both VA Systems including setting up VA projects in HMIS, identifying and training users, establishing data sharing and other policies and protocols. These steps will ensure HMIS PH coverage rates meet and exceed the 85% HMIS bed coverage rate for PH in AZBOSCoC.

2A-6. Annual Housing Assessment Report (AHAR) Submission: How many Annual Housing Assessment Report (AHAR) tables were accepted and used in the 2016 AHAR? 12

2A-7. Enter the date the CoC submitted the 2017 Housing Inventory Count (HIC) data into the Homelessness Data Exchange (HDX). (mm/dd/yyyy) 05/01/2017

2B. Continuum of Care (CoC) Point-in-Time Count

Instructions:

For guidance on completing this application, please reference the FY 2017 CoC Application Detailed Instructions and the FY 2017 CoC Program Competition NOFA. Please submit technical questions to the HUD Exchange Ask A Question.

2B-1. Indicate the date of the CoC's 2017 PIT count (mm/dd/yyyy). If the PIT count was conducted outside the last 10 days of January 2017, HUD will verify the CoC received a HUD-approved exception. 01/24/2017

2B-2. Enter the date the CoC submitted the PIT count data in HDX. (mm/dd/yyyy) 05/01/2017

2C. Continuum of Care (CoC) Point-in-Time (PIT) Count: Methodologies

Instructions:

For guidance on completing this application, please reference the FY 2017 CoC Application Detailed Instructions and the FY 2017 CoC Program Competition NOFA. Please submit technical questions to the HUD Exchange Ask A Question.

2C-1. Describe any change in the CoC's sheltered PIT count implementation, including methodology and data quality changes from 2016 to 2017. Specifically, how those changes impacted the CoCs sheltered PIT count results.
(limit 1000 characters)

The AZBOSCoC continued to refine the process for the sheltered count in 2017. As in previous years, the count includes data from HMIS as well as data gathered from domestic violence shelters and Veteran programs that do not report into HMIS. Data quality in HMIS was reviewed and updates and corrections were made prior to inputting information into HDX. For Domestic Violence shelters, a survey was distributed with the assistance of the Arizona Department of Economic Security's Domestic Violence Program. In addition, 240 volunteers participated in the 2017, providing greater coverage of geographical areas.

2C-2. Did your CoC change its provider coverage in the 2017 sheltered count?   Yes

2C-2a. If "Yes" was selected in 2C-2, enter the change in provider coverage in the 2017 sheltered PIT count, including the number of beds added or removed due to the change.

Beds Added:	123
Beds Removed:	126
Total:	-3

2C-3. Did your CoC add or remove emergency shelter, transitional housing, or Safe-Haven inventory because of funding specific to a Presidentially declared disaster resulting in a change to the CoC's 2017 sheltered PIT count?   No

2C-3a. If "Yes" was selected in 2C-3, enter the number of beds that were added or removed in 2017 because of a Presidentially declared disaster.

Beds Added:	0
Beds Removed:	0
Total:	0

2C-4. Did the CoC change its unsheltered PIT count implementation, including methodology and data quality changes from 2016 to 2017?
CoCs that did not conduct an unsheltered count in 2016 or did not report unsheltered PIT count data to HUD in 2016 should compare their efforts in 2017 to their efforts in 2015.   Yes

2C-4a. Describe any change in the CoC's unsheltered PIT count implementation, including methodology and data quality changes from 2016 to 2017. Specify how those changes impacted the CoC's unsheltered PIT count results. See Detailed Instructions for more information.
(limit 1000 characters)

The AZBOSCoC continued to refine the process for conducting the unsheltered count in 2017. The process started in October with local coordinators identified in each county. This enabled local coordinators additional lead time to recruit volunteers and develop the logistics to complete the count in diverse areas in their county. The PIT survey was reviewed by coordinators and adjustments made to ensure ease of use by volunteers and that all required information was collected. All volunteers attended training about conducting the interview for the PIT count and completing the VI-SPDAT. Individuals who were interviewed were also asked if they would complete the VI-SPDAT. As a result, local communities were able to create "By Name Lists" and follow up with individuals to engage them in services.

2C-5. Did the CoC implement specific measures to identify youth in their PIT count?   Yes

2C-5a. If "Yes" was selected in 2C-5, describe the specific measures the CoC; (1) took to identify homeless youth in the PIT count; (2) during the planning process, how stakeholders that serve homeless youth were engaged; (3) how homeless youth were engaged/involved; and (4) how the CoC worked with stakeholders to select locations where homeless youth are most likely to be identified.
(limit 1000 characters)

As a part of planning activities, all local coordinators were informed that the 2017 PIT count would include efforts to identify homeless youth. Specific questions were added to the PIT survey. Coordinators in counties where there are youth serving agencies reached out to those agencies to engage them. Locations were identified by the local CoC groups that include stakeholders from throughout the community. Youth who were homeless were engaged through the efforts of the local CoC group through youth serving agencies that

are partners. In 2016, a total of 33 unaccompanied youth households were counted. In 2017, 48 unaccompanied youth households were counted due to the focus to identify them. In addition, 4 youth were willing to complete a TAY-SPDAT which provided an opportunity for additional engagement.

2C-6. Describe any actions the CoC implemented in its 2017 PIT count to better count individuals and families experiencing chronic homelessness, families with children, and Veterans experiencing homelessness. (limit 1000 characters)

The LCEH include SSVF organizations and other providers that serve veterans and families and provide services such as behavioral health treatment. With this expertise involved in the planning of the logistics of the local count, locations where individuals may be are identified. In addition, agencies serving veterans provide local coordination for some of the counties and PATH workers (for the communities that have them including Flagstaff and Sierra Vista) are involved in the count to engage with individuals who might meet the definition of chronically homeless. The VI-SPDAT was completed with consent so that engagement occurred quickly as a result of the use of "by name lists".

3A. Continuum of Care (CoC) System Performance

Instructions

For guidance on completing this application, please reference the FY 2017 CoC Application Detailed Instructions and the FY 2017 CoC Program Competition NOFA. Please submit technical questions to the HUD Exchange Ask A Question.

3A-1. Performance Measure: Reduction in the Number of First-Time Homeless. Describe: (1) the numerical change the CoC experienced; (2) the process the CoC used to identify risk factors of becoming homeless for the first time; (3) the strategies in place to address individuals and families at risk of becoming homeless; and (4) the organization or position that is responsible for overseeing the CoC's strategy to reduce or end the number of individuals and families experiencing homelessness for the first time.
(limit 1000 characters)

(1) AZBOSCoC 2016 SPMs showed a 1% increase in first time homeless persons. (2) AZBOSCoC/ADOH reviews first time homelessness factors including institutional releases, housing affordability/availability, and HMIS data. (3) From this review, AZBOSCoC added the S. Arizona RBHA providing Medicaid mental health services and housing for 7 AZBOSCoC counties in HMIS and CE. By Dec. '17, AZBOSCoC HMIS will add the Northern RBHA for the other 6 counties and the Northern and Southern Arizona VAHCs. Four counties started jail outreach/pre-release projects to avoid homeless discharges. ADOH has renewed its $1 million in RRH funds; funding may be used for prevention. ADOH also coordinates prevention with its LIHEAP, OOHR, WIC, and Weatherization programs. CE projects have started diversion to re-direct people to other non-homeless care systems. (4) ADOH added a CoC Coordinator to work with mainstream, LCEH, and AZBOSCoC stakeholders to coordinate and implement these strategies.

3A-2. Performance Measure: Length-of-Time Homeless.
 CoC 's must demonstrate how they reduce the length-of-time for individuals and families remaining homeless. Describe (1) the numerical change the CoC experienced; (2) the actions the CoC has implemented to reduce the length-of-time individuals and families remain homeless; (3) how the CoC identifies and houses individuals and families with the longest length-of-time homeless; and (4) identify the organization or position that is responsible for overseeing the CoC's strategy to reduce the length-of-time individuals and families remain homeless.
(limit 1000 characters)

(1) AZBOSCoC reduced the average length of time (LOT) homeless for ES, SH and TH by 15 days (14%). (2) Actions included: a) CE implementation to identify persons with high LOT for prioritization; b) expansion of CE to mainstream and non-CoC resources including outreach, behavioral health, VA and ESG; c) re-

allocation of CoC TH to RRH and creation of new non-CoC RRH to expedite placements; and d) use of SOAR and income strategies. (3) AZBOSCoC CE has adopted HUD CPD policy 16-11 to incorporate LOT into PH prioritization. ADOH is working to include HMIS LOT data in local by name lists to expedite ID of those with long LOT homeless. LOT is a scoring criteria for CoC RRH and TH to promote quick housing. Quick placement is difficult in AZBOS' tight rental market (<8% vacancy). In response, ADOH implemented and funded a landlord recruiting/retention programs to expand unit availability. (4) ADOH/AZBOSCoC added a CoC Coordinator to work with stakeholders on LOT reduction.

3A-3. Performance Measures: Successful Permanent Housing Placement and Retention
  Describe: (1) the numerical change the CoC experienced; (2) the CoCs strategy to increase the rate of which individuals and families move to permanent housing destination or retain permanent housing; and (3) the organization or position responsible for overseeing the CoC's strategy for retention of, or placement in permanent housing.
(limit 1000 characters)

(1) Persons exiting ES, TH and RRH to PH increased 14% and the % of positive exits was up 3%. PH retention and PH exits remained high at 92% and the total # of persons with PH exits and retaining PH increased 13%. The total # of persons exiting from SO to PH increased 176%. (2) This data reflects local strategies: a) ADOH/AZBOSCoC reviews HMIS CoC project exits/retention and require all CoC PH to document "negative" PH exits and show retention or re-housing efforts; b) AZBOSCoC incorporates mainstream systems that provide primary supportive services for PH residents including the VA and RBHAs to integrate services to housing goals; and c) PH retention and PH exits are scoring criteria in the NOFA R&R to incentivize performance. AZBOSCoC has requested a CoC PH Bonus project to increase units in AZBOSCoC counties that currently have no PH resources to expedite PH placements. (3) AZDOH/ AZBOSCoC has hired a CoC Coordinator to work with LCEH and stakeholders to oversee these strategies.

3A-4. Performance Measure: Returns to Homelessness.
  Describe: (1) the numerical change the CoC experienced, (2) what strategies the CoC implemented to identify individuals and families who return to homelessness, (3) the strategies the CoC will use to reduce additional returns to homelessness, and (4) the organization or position responsible for overseeing the CoC's efforts to reduce the rate of individuals and families' returns to homelessness.
(limit 1000 characters)

(1) Returns to homelessness in 2 years from non-PH interventions were 18%, down 4% from '15 (22%) despite more total exits. PH returns remained at 8%. (2) Strategies used include: a) CE expansion to quickly identify returns for service connection and rehousing; b) involving RHBA, VA and 3d party service providers to improve services and retention especially for SMI individuals; c) continued expansion of SOAR and employment services; and d) monitoring of all project exits through HMIS to evaluate services and retention. (3) Additional efforts to reduce returns include: a) county level HMIS reporting, by name lists and SPM outcomes to enhance local coordination with CoC and non-CoC

resources; and, b) ADOH created and funded landlord incentive and housing locator for AZBOS to recruit and retain private landlords for rental assistance projects. (4) These strategies are the responsibility of the AZBOSCoC Coordinator working with GAB and LCEH stakeholders.

3A-5. Performance Measures: Job and Income Growth
Describe: (1) the strategies that have been implemented to increase access to employment and mainstream benefits; (2) how the CoC program-funded projects have been assisted to implement the strategies; (3) how the CoC is working with mainstream employment organizations to help individuals and families increase their cash income; and (4) the organization or position that is responsible for overseeing the CoC's strategy to increase job and income growth from employment, non-employment including mainstream benefits.
(limit 1000 characters)

(1) AZBOSCoC income strategies include: a) requiring SOAR in sub-recipient contracts; b) using income as a scoring criteria in the 2017 NOFA R&R; c) using HMIS data including interim reporting to track and monitor project level income progress; and d) sub-recipients are required to secure mainstream benefits. (2) To assist sub-recipients, AZBOSCoC has: a) increased SOAR availability by working with LCEHs for private SOAR expansion funding; b) ADOH designated a SOAR trained BOSCoC lead to coordinate statewide efforts; c) RBHAs incorporating SOAR in homeless SMI services; and d) creating local HMIS SPM reports to identify local economic challenges. (3) AZBOSCoC employment strategies are: a) LCEHs recruiting and involving local workforce programs in local CoC coordination; and b) ADOH will work to coordinate with DES WIOA programs. (4) Responsibility for these strategies lies with the AZBOSCoC Coordinator working closely with the GAB, LCEHs, and other stakeholders.

3A-6. Did the CoC completely exclude a geographic area from the most recent PIT count (i.e. no one counted there, and for communities using samples in the area that was excluded from both the sample and extrapolation) where the CoC determined there were no unsheltered homeless people, including areas that are uninhabitable (deserts, forests).   Yes

3A.6a. If the response to 3A-6 was "Yes", what was the criteria and decision-making process the CoC used to identify and exclude specific geographic areas from the CoCs unsheltered PIT count?
(limit 1000 characters)

The counties included in the AZBOSCoC are vast with much of the area being desert or mountains. In those cases, there are encampments that individuals involved in the local CoC group know about it. Counts are attempted if the weather is suitable to get to the particular area.

3A-7. Enter the date the CoC submitted the System Performance Measures data in HDX, which included the data quality section for FY 2016. (mm/dd/yyyy)   05/31/2017

3B. Continuum of Care (CoC) Performance and Strategic Planning Objectives

Instructions

For guidance on completing this application, please reference the FY 2017 CoC Application Detailed Instructions and the FY 2017 CoC Program Competition NOFA. Please submit technical questions to the HUD Exchange Ask A Question.

3B-1. Compare the total number of PSH beds, CoC program and non CoC-program funded, that were identified as dedicated for yes by chronically homeless persons in the 2017 HIC, as compared to those identified in the 2016 HIC.

	2016	2017	Difference
Number of CoC Program and non-CoC Program funded PSH beds dedicated for use by chronically homelessness persons identified on the HIC.	108	343	235

3B-1.1. In the box below: (1) "total number of Dedicated PLUS Beds" provide the total number of beds in the Project Allocation(s) that are designated ad Dedicated PLUS beds; and (2) in the box below "total number of beds dedicated to the chronically homeless:, provide the total number of beds in the Project Application(s) that are designated for the chronically homeless. This does not include those that were identified in (1) above as Dedicated PLUS Beds.

Total number of beds dedicated as Dedicated Plus	226
Total number of beds dedicated to individuals and families experiencing chronic homelessness	223
Total	449

3B-1.2. Did the CoC adopt the Orders of Priority into their standards for all CoC Program funded PSH projects as described in Notice CPD-16-11: Prioritizing Persons Experiencing Chronic Homelessness and Other Vulnerable Homeless Persons in Permanent Supportive Housing.

Yes

3B-2.1. Using the following chart, check each box to indicate the factor(s) the CoC currently uses to prioritize households with children based on need during the FY 2017 Fiscal Year.

History of or Vulnerability to Victimization	X
Number of previous homeless episodes	X

Unsheltered homelessness	X
Criminal History	☐
Bad credit or rental history (including not having been a leaseholder)	☐
Head of Household with Mental/Physical Disability	X

3B-2.2. Describe: (1) the CoCs current strategy and timeframe for rapidly rehousing every household of families with children within 30 days of becoming homeless; and (2) the organization or position responsible for overseeing the CoC's strategy to rapidly rehouse families with children within 30 days of becoming homeless.
(limit 1000 characters)

(1) Strategies for rapidly rehousing every family with children w/in 30 days of becoming homeless are identical to CoC strategies to end homelessness: a) continued CE expansion in all communities to identify, divert, assess (using Family VI-SPDAT) and connect homeless families to housing and service; b) increase RRH funding and quality affordable housing stock for RRH programs; and c) expand LCEH case conferencing around By Name Lists and local HMIS data to target and prioritize service and housing connection. In addition to coordinating with SSVF and ESG RRH family programs, ADOH dedicated $1 million to AZBOSCoC for additional RRH units. ADOH has also funded landlord incentive and locator projects to increase RRH housing options. AZBOSCoC also re-allocated CoC TH projects to RRH based on need. (2) The AZBOSCoC Coordinator provides oversight for strategy to rapidly rehouse families w children. Note: The reduction in RRH units in CoC was due to SSVF/ESG program changes.

3B-2.3. Compare the number of RRH units available to serve families from the 2016 and 2017 HIC.

	2016	2017	Difference
Number of CoC Program and non-CoC Program funded PSH units dedicated for use by chronically homelessness persons identified on the HIC.	67	19	-48

3B-2.4. Describe the actions the CoC is taking to ensure emergency shelters, transitional housing, and permanent supportive housing (PSH and RRH) providers within the CoC adhere to anti-discrimination policies by not denying admission to, or separating any family members from other members of their family or caregivers based on age, sex, gender, LGBT status, marital status or disability when entering a shelter or Housing.
(limit 1000 characters)

ADOH as recipient agency for the AZBOSCoC requires all CoC funded entities to adhere to federal and state anti-discrimination and fair housing laws. These standards are incorporated into ADOH housing polices and sub-recipient agreements for CoC and non-CoC funded ADOH homeless contracts including

HOPWA and our state funded RRH programs. ADOH recently created a standard monitoring tool covering all of these programs to better ensure compliance. While ADOH cannot enforce compliance in all non-CoC or ADOH funded programs, ADOH is working with DES who manage ESG funds as well as state homeless funds to standardize compliance with CoC programs anti-discrimination standards and other federal and state rules. LCEHs and CE also ensure local policies and procedures within the AZBOSCoC incorporate and adhere to anti-discrimination policies. ADOH AZBOSCoC site monitoring is conducted annually or more frequently if issues are identified.

3B-2.5. From the list below, select each of the following the CoC has strategies to address the unique needs of unaccompanied homeless youth.

Human trafficking and other forms of exploitation?	Yes
LGBT youth homelessness?	Yes
Exits from foster care into homelessness?	Yes
Family reunification and community engagement?	Yes
Positive Youth Development, Trauma Informed Care, and the use of Risk and Protective Factors in assessing youth housing and service needs?	Yes

3B-2.6. From the list below, select each of the following the CoC has a strategy for prioritization of unaccompanied youth based on need.

History or Vulnerability to Victimization (e.g., domestic violence, sexual assault, childhood abuse)	X
Number of Previous Homeless Episodes	X
Unsheltered Homelessness	X
Criminal History	
Bad Credit or Rental History	

3B-2.7. Describe: (1) the strategies used by the CoC, including securing additional funding to increase the availability of housing and services for youth experiencing homelessness, especially those experiencing unsheltered homelessness; (2) provide evidence the strategies that have been implemented are effective at ending youth homelessness; (3) the measure(s) the CoC is using to calculate the effectiveness of the strategies; and (4) why the CoC believes the measure(s) used is an appropriate way to determine the effectiveness of the CoC's efforts. (limit 1500 characters)

(1) The LCEH are focused on this issue and are developing local strategies. There are limited youth serving organizations in the AZBOSCoC. All of them have been engaged in LCEH. In Flagstaff (where it is most likely to have youth experiencing unsheltered homelessness, the schools, PATH and the Outreach Coordinator from Northland Family Help Center (a youth shelter) work together

to help youth get housed. In addition, for the 2017 PIT specific questions were asked about youth to identify the extent of the issue. (2) The AZBOSCoC will continue to address this issue in 2018 including providing specific procedures in the CE protocol. (3) The PIT and HIC data will be used to monitor the issues. (4) With a small number of youth and limited resources the appropriate strategy currently is maximize resources already in place.

3B-2.8. Describe: (1) How the CoC collaborates with youth education providers, including McKinney-Vento local educational authorities and school districts; (2) the formal partnerships the CoC has with these entities; and (3) the policies and procedures, if any, that have been adopted to inform individuals and families who become homeless of their eligibility for educational services.
(limit 1000 characters)

(1) AZBOSCoC and youth education providers coordinate at LCEHs due to varying resources in the CoC's counties. Where available, LCEHs include youth education providers, school districts, and/or McKinney-Vento local liaisons. AZDOE provides training, workshops, and multiple language materials about the rights of students in temporary housing. AZBOSCoC sub-recipients receiving RHY participate in AZBOSCoC PIT and LCEH activities to engage youth and families experiencing homelessness. The AZDOE Coord. for Homeless Ed. meets with ADOH to coordinate. AZDOE holds its McKinney-Vento Liaison conference in conjunction with State Annual Homeless Conference to raise awareness of best practices and system improvements. (2) LCEHs and ADOH will work to develop formal agreements between AZBOSCoC and educational entities. (3) AZBOSCoC sub-recipients are contractually required to have CM and coordinate with local schools and McKinney-Vento liaisons. Additional policies will be incorporated this year.

3B-2.9. Does the CoC have any written formal agreements, MOU/MOAs or partnerships with one or more providers of early childhood services and supports? Select "Yes" or "No".

	MOU/MOA	Other Formal Agreement
Early Childhood Providers	No	No
Head Start	No	No
Early Head Start	No	No
Child Care and Development Fund	No	No
Federal Home Visiting Program	No	No
Healthy Start	No	No
Public Pre-K	No	No
Birth to 3	No	No
Tribal Home Visting Program	No	No
Other: (limit 50 characters)		
McKinney Vento Homestart	Yes	No
AZ First Things First (0-5)	Yes	No

3B-3.1. Provide the actions the CoC has taken to identify, assess, and

refer homeless Veterans who are eligible for Veterans Affairs services and housing to appropriate resources such as HUD-VASH and Supportive Services for Veterans Families (SSVF) program and Grant and Per Diem (GPD).
(limit 1000 characters)

AZBOSCoC implemented the Vets@Home plan created with HUD TA over the past two years to end veteran homelessness. Key implemented elements include: a) standardized screening for veterans in AZBOSCoC CE; b) standardized CE acuity/ need assessment using VI-SPDAT and AZBOSCoC CE prioritization between CoC CE and SSVF and VA for housing; c) VA/ SSVF participation in AZBOSCoC LCEHs to coordinate with SO, case conferencing and coordination; d) weekly sharing of CE by name lists with VA/SSVF; e) SSVF/VA participation in PIT; and f) SSVF housing included in HMIS. Further efforts to improve veteran services going forward include: a) SAVAHC and NAVAHC adoption of HMIS for data sharing and service coordination; b) addition of NAVAHC Domiciliary beds into HMIS; c) streamlining of VAHC eligibility assessment and service connection process; d) standardize efforts between SAVAHC and NAVAHC; and e) NAVAHC and SAVAHC to adopt HUD Benchmarks for Ending Veteran Homelessness.

3B-3.2. Does the CoC use an active list or by name list to identify all Veterans experiencing homelessness in the CoC? Yes

3B-3.3. Is the CoC actively working with the VA and VA-funded programs to achieve the benchmarks and criteria for ending Veteran homelessness? Yes

3B-3.4. Does the CoC have sufficient resources to ensure each Veteran is assisted to quickly move into permanent housing using a Housing First approach? No

4A. Continuum of Care (CoC) Accessing Mainstream Benefits and Additional Policies

Instructions:

For guidance on completing this application, please reference the FY 2017 CoC Application Detailed Instructions and the FY 2017 CoC Program Competition NOFA. Please submit technical questions to the HUD Exchange Ask A Question.

4A-1. Select from the drop-down (1) each type of healthcare organization the CoC assists program participants with enrolling in health insurance, and (2) if the CoC provides assistance with the effective utilization of Medicaid and other benefits.

Type of Health Care	Yes/No	Assist with Utilization of Benefits?
Public Health Care Benefits **(State or Federal benefits,** **e.g. Medicaid, Indian Health Services)**	Yes	Yes
Private Insurers:	Yes	Yes
Non-Profit, Philanthropic:	No	No
Other: (limit 50 characters)		

4A-1a. Mainstream Benefits

CoC program funded projects must be able to demonstrate they supplement CoC Program funds from other public and private resources, including: (1) how the CoC works with mainstream programs that assist homeless program participants in applying for and receiving mainstream benefits; (2) how the CoC systematically keeps program staff up-to-date regarding mainstream resources available for homeless program participants (e.g. Food Stamps, SSI, TANF, substance abuse programs); and (3) identify the organization or position that is responsible for overseeing the CoCs strategy for mainstream benefits.
(limit 1000 characters)

1. All sub-recipients connect clients with mainstream resources by assisting with completing enrollment forms, providing transportation to appointments, and connecting to a SOAR expert to assist with SSDI applications. Sub-recipient staff and partner staff are involved in this process. 2. The LCEH includes representatives from agencies that provide mainstream resources such as the Arizona Department of Economic Security, behavioral health providers, and Health clinics. As a result, information is shared at the meetings about mainstream resources. Some of the sub-recipients are directly involved with mainstream resources eligibility and receive updates via training and other communication activities. 3. The Department of Economic Security oversees the administration of benefits. The LCEH facilitates networking and connection to benefits in local communities.

4A-2. Low Barrier: Based on the CoCs FY 2017 new and renewal project applications, what percentage of Permanent Housing (PSH) and Rapid Rehousing (RRH), Transitional Housing (TH), Safe-Haven, and SSO (Supportive Services Only-non-coordinated entry) projects in the CoC are low-barrier?

Total number of PH (PSH and RRH), TH, Safe-Haven and non-Coordinated Entry SSO project applications in the FY 2017 competition (new and renewal)	25.00
Total number of PH (PSH and RRH), TH, Safe-Haven and non-Coordinated Entry SSO renewal and new project applications that selected "low barrier" in the FY 2017 competition.	25.00
Percentage of PH (PSH and RRH), TH, Safe-Haven and non-Coordinated Entry SSO renewal and new project applications in the FY 2017 competition that will be designated as "low barrier"	100.00%

4A-3. Housing First: What percentage of CoC Program Funded PSH, RRH, SSO (non-coordinated entry), safe-haven and Transitional Housing; FY 2017 projects have adopted the Housing First approach, meaning that the project quickly houses clients without preconditions or service participation requirements?

Total number of PSH, RRH, non-Coordinated Entry SSO, Safe Haven and TH project applications in the FY 2017 competition (new and renewal).	25.00
Total number of PSH, RRH, non-Coordinated Entry SSO, Safe Haven and TH renewal and new project applications that selected Housing First in the FY 2017 competition.	25.00
Percentage of PSH, RRH, non-Coordinated Entry SSO, Safe Haven and TH renewal and new project applications in the FY 2017 competition that will be designated as Housing First.	100.00%

4A-4. Street Outreach: Describe (1) the CoC's outreach and if it covers 100 percent of the CoC's geographic area; (2) how often street outreach is conducted; and (3) how the CoC has tailored its street outreach to those that are least likely to request assistance.
(limit 1000 characters)

1) AZBOSCoC LCEH street outreach (SO) covers over 90% of the almost 100,000 sq/mi area and AZBOSCoC population. (2) In urban counties with large population centers, US Vets and PATH SO conduct daily/weekly SO. In the balance of counties, local SSVF/VA, RBHA, shelters, and/or faith based groups conduct SO as available. (3) In all BOS, LCEH CE enroll outreached persons into by name lists, case conferencing, and housing coordination while unsheltered if there is reluctance to access assistance. The VI-SPDAT was available in the 2017 PIT to allow willing SO persons to enroll in HMIS/CE and housing. SPM's show 26% of SO exits to PH, and a 176% increase in the # of SO to PH exits. LCEHs include law enforcement, faith groups, VA/SSVF, RBHA clinics, and food projects to coordinate/co-locate SO efforts. AZBOSCoC is adding VAs, RBHAs and other providers in HMIS to coordinate housing and services regardless of location. US Vets is exploring drone use to find camps for SO in forested rural areas.

4A-5. Affirmative Outreach
Specific strategies the CoC has implemented that furthers fair housing as detailed in 24 CFR 578.93(c) used to market housing and supportive services to eligible persons regardless of race, color, national origin, religion, sex, gender identify, sexual orientation, age, familial status, or

**disability; who are least likely to apply in the absence of special outreach.
Describe: (1) the specific strategies that have been implemented that
affirmatively further fair housing as detailed in 24 CFR 578.93(c); and (2)
what measures have been taken to provide effective communication to
persons with disabilities and those with limited English proficiency.
(limit 1000 characters)**

AZBOSCoC housing policies & procedures and related monitoring oversight
require all AZBOSCoC sub-recipients to provide 24 CFR 578.93 required
Affirmative Outreach. Sub-recipient contracts, reviewed in annual monitoring,
require publication/posting of Fair Housing literature and notices, explain
measures taken to provide effective communication to those with disabilities or
LEP, and document complaint/appeals procedures for Fair Housing violations.
ADOH is a member of the Fair Housing Partnership and has a Fair Housing
Coordinator responsible for staying current with standards and laws. ADOH
funds an ongoing statewide (including AZBOSCoC areas) Fair Housing
education and awareness campaign that includes publication and distribution of
bilingual literature and materials on Fair Housing rights, public service
announcements, local trainings, and other strategies to ensure affirmative
outreach to further fair housing awareness and practices.

**4A-6. Compare the number of RRH beds available to serve populations
from the 2016 and 2017 HIC.**

	2016	2017	Difference
RRH beds available to serve all populations in the HIC	486	147	-339

**4A-7. Are new proposed project applications
requesting $200,000 or more in funding for
housing rehabilitation or new construction?**   No

**4A-8. Is the CoC requesting to designate one
or more SSO or TH projects to serve
homeless households with children and
youth defined as homeless under other
Federal statues who are unstably housed
(paragraph 3 of the definition of homeless
found at 24 CFR 578.3).**   No

4B. Attachments

Instructions:

Multiple files may be attached as a single .zip file. For instructions on how to use .zip files, a reference document is available on the e-snaps training site: https://www.hudexchange.info/resource/3118/creating-a-zip-file-and-capturing-a-screenshot-resource

Document Type	Required?	Document Description	Date Attached
01. 2016 CoC Consolidated Application: Evidence of the CoC's communication to rejected participants	Yes	2017 Evidence of ...	09/25/2017
02. 2016 CoC Consolidated Application: Public Posting Evidence	Yes		
03. CoC Rating and Review Procedure (e.g. RFP)	Yes	AZBOSCoC Rating a...	09/26/2017
04. CoC's Rating and Review Procedure: Public Posting Evidence	Yes	4 COC Rating and ...	09/25/2017
05. CoCs Process for Reallocating	Yes	AZBOSCoC Process ...	09/26/2017
06. CoC's Governance Charter	Yes	AZBOSCoC Governan...	09/25/2017
07. HMIS Policy and Procedures Manual	Yes	AZBOSCoC HMIS Pol...	09/25/2017
08. Applicable Sections of Con Plan to Serving Persons Defined as Homeless Under Other Fed Statutes	No		
09. PHA Administration Plan (Applicable Section(s) Only)	Yes	2017 AZ 550 PHA P...	09/26/2017
10. CoC-HMIS MOU (if referenced in the CoC's Goverance Charter)	No		
11. CoC Written Standards for Order of Priority	No	Written Standards...	09/25/2017
12. Project List to Serve Persons Defined as Homeless under Other Federal Statutes (if applicable)	No		
13. HDX-system Performance Measures	Yes	2016 AZBOSCoC HDX...	09/25/2017
14. Other	No		
15. Other	No		

Attachment Details

Document Description: 2017 Evidence of Communication to Rejected Projects

Attachment Details

Document Description:

Attachment Details

Document Description: AZBOSCoC Rating and Review Procedure

Attachment Details

Document Description: 4 COC Rating and Review Public Posting

Attachment Details

Document Description: AZBOSCoC Process for Reallocation

Attachment Details

Document Description: AZBOSCoC Governance Charter

Attachment Details

Document Description: AZBOSCoC HMIS Policies and Procedures

Attachment Details

Document Description:

Attachment Details

Document Description: 2017 AZ 550 PHA Preference

Attachment Details

Document Description:

Attachment Details

Document Description: Written Standards of Order of Priority

Attachment Details

Document Description:

Attachment Details

Document Description: 2016 AZBOSCoC HDX System Performance Meausres

Attachment Details

Document Description:

Attachment Details

Document Description:

Submission Summary

Ensure that the Project Priority List is complete prior to submitting.

Page	Last Updated
1A. Identification	09/16/2017
1B. Engagement	09/26/2017
1C. Coordination	09/26/2017
1D. Discharge Planning	09/19/2017
1E. Project Review	09/26/2017
1F. Reallocation Supporting Documentation	09/26/2017
2A. HMIS Implementation	09/26/2017
2B. PIT Count	09/26/2017
2C. Sheltered Data - Methods	09/25/2017
3A. System Performance	09/26/2017
3B. Performance and Strategic Planning	09/26/2017

4A. Mainstream Benefits and Additional Policies	09/26/2017
4B. Attachments	Please Complete
Submission Summary	No Input Required

AZ Department of Housing--CA
Phoenix, AZ

Arizona Balance of State
Continuum of Care
History of Reallocation
2013-2017
Narrative for Option 1 Q1E.4

1 of 2
9/26/2017

The AZBOSCoC has utilized reallocation as a strategy to eliminate non performing projects, align resources more closely with community needs, and align with HUD priorities. As appropriate, the resources remained in the county or origin. One project, Dreamcatcher was reallocated from TH to RRH through a HUD approved administrative process. All other reallocations took place as a part of the NOFA application.

Year	Agency	Project	Status	Reallocated	Reduced/ Eliminated	Notes
2013	WYGC	WYGC	Reduced		$12,000.00	This project was reduced because of under spending
2013	Open Inn	TH	eliminated		$49,869.00	This organization was underperforming and subsequently went out of business
2013	CCS	Sycamore Canyon	New project from reallocation	$61,869		This project was approved and funded from the two projects listed above. This project was approved by HUD
2015	Horizon	Horizon PH	eliminated		$50,393.00	This project was eliminated due to under performance and lack of involvement with the CoC
2015	CAHRA	Dreamcatcher	Reallocated from Horizon	$50,393		This project was a reallocation of Horizon funds in the same county to keep the resources in the county. This reallocation was not approved by HUD in 2015
2105	CAHRA	Dreamcatcher	Administrative change from TH to RRH	$175,714		This project was reallocated from TH to RRH to align with the needs of the community. It was completed through HUD administrative process.
2016	NA Housing Solutions	Sharon Manor	Reallocated from TH to RRH	$79,664		This project's TH units were reallocated to RRH in alignment with HUD priorities. This project was approved by HUD.
2016	OCCAC	New Start	Reallocated from TH to PH	$196,672		This project's TH units were reallocated to PSH to meet needs in the community and in alignment with HUD priorities. This project was approved by HUD.
2016	The Guidance Center	Hart Prairie	PH project that was eliminated		$70,029.00	This project was eliminated and funds were reallocated. The project had been underperforming.
2016	CCS	Cypress Grove	Reallocated from Hart Prairie	$70,029		This project is PH and was a reallocation from Hart Prairie. Project is located in the same community as Hart Prairie was.

AZ Department of Housing--CA

Phoenix, AZ

Arizona Balance of State
Continuum of Care
History of Reallocation
2013-2017
Narrative for Option 1 Q1E.4

2 of 2

9/26/2017

The AZBOSCoC has utilized reallocation as a strategy to eliminate non performing projects, align resources more closely with community needs, and align with HUD priorities. As appropriate, the resources remained in the county or origin. One project, Dreamcatcher was reallocated from TH to RRH through a HUD approved administrative process. All other reallocations took place as a part of the NOFA application.

2017	CBI	WTP	This was a single home with 9 rooms for a mother and child.		$131,687	This project was reallocated from TH to RRH to align with the needs of the community.
2017	CBI	CBI Cochise RRH	This project is requested in the 2017 NOFA	$131,687		This project is requested in the 2017 NOFA to align with the needs of the community
				$766,028	$313,978	

2017 Arizona
Balance of State Continuum of Care
Bonus/Reallocation Application

Please note this document provides information for bonus applications. There is a separate information request for renewal projects that can be found at www.azhousing.gov.

Introduction:

The 2017 HUD Continuum of Care Notice of Funding Availability (NOFA) has been released. The Arizona Department of Housing (ADOH), as the Collaborative Applicant, will submit the full BOSCOC Application by the due date of September 28, 2017.

The key dates for the process include:

NOFA Schedule

Item	Due Date	Who is responsible
Match worksheet sent to subrecipients	8/15/17	David Bridge
Renewal, Bonus/Reallocation applications due submitted through ADOH portal by 5:00 pm	8/25/17	Sub-Recipients and New applicants
Notification of project acceptance renewal applications	9/13/17	Karia Basta/David Bridge
Notification of acceptance of new or bonus/reallocation projects for submittal	9/8/17	Karia Basta/David Bridge
New or Bonus/Reallocation projects submit additional required information (based on feedback from Candee Stanton)	9/15/17	Applicants and Candee Stanton
AZ BOSCOC submits application (Bonus/Reallocation, Renewal, Planning, and BOSCOC narrative)	9/28/17	David Bridge with help from Candee Stanton

This is a competitive process open to non-profit, faith-based, private and public agencies. The BOSCOC reserves the right to administratively disqualify or penalize any application that does not comply with the submission process. This includes answering all questions completely and meeting deadlines.

Applicants are strongly encouraged to read in its entirety the 2017 NOFA and this local application packet.

- Again, there is a requirement to rank applications in Tier 1 and Tier 2. This year, it is required Tier 1 represent ninety-four percent (94%) of the BOSCOC Annual Renewal Demand (ARD) with the remaining six percent (6%) ranked in Tier 2.

- The NOFA is a competitive process and the BOSCOC uses an objective process to rank all applications.
- HMIS is required for the COC and must be funded; therefore, the HMIS grant will be included in Tier 1.
- HUD's defined priorities include:
  1) Ending homelessness for all persons
  2) Create a systematic response to homelessness.
  3) Strategically allocate resources.
  4) Use a Housing First Approach.

Priority populations continue to be:
  1) households with a member who meets the definition of chronically homeless. (Individuals and Families
  2) families
  3) youth
  4) veterans

Governance Advisory Board:
The Governance Advisory Board met August 10, 2017 and established the following:
- Reallocation projects will not automatically be ranked in Tier 2.

- Bonus application will be open to entire BOSCOC geographic area. Any agency applying must be currently involved in local or regional Continuum of Care meetings to apply. The bonus project is for permanent housing only (PSH, RRH, or TH-RRH). For PSH projects, 100% of housing must be dedicated to serving households that meet the definition of chronically homeless.
- Projects may not include construction or expansion.
- If you are a current sub-recipient and only have one project that you are submitting for reallocation, it will also be required that you submit the renewal application required of all sub-recipients. Please contact David Bridge for additional information at 602-771-1039 or at David.Bridge@azhousing.gov

Evaluation Criteria:

COC Threshold/Evaluation requirements include:

1) Coordinated Entry Participation
2) Housing First and/or Low Barrier Implementation
3) Documented, secured minimum match
4) Project has reasonable costs per permanent housing exit as defined locally
5) Project is financially feasible
6) Sub recipient is active COC participant
7) Application is complete and data are consistent
8) Data quality at or above 90%
9) Bed/unit utilization at/or above 90%
10) Acceptable organizational audit/financial review
11) Documented organizational financial stability

For new applications:
- Project Budget
- Scope of Services

- Agency Capacity – must provide evidence that the agency has implemented similar projects in the past
- If your application is chosen to be included in the BOSCOC application, and you do not participate already, you must commit to participate in Coordinated Entry utilizing the VI-SPDAT, Case Conferencing and HMIS (Homeless Management Information System)

FY2017 Funds Available:

There is $**3,883,471** ARD available to the AZBOSCOC for FY2017

Tier 1: 94% of ARD	$3,650,463
Tier 2: 6% of ARD	$ 233,008
Housing Bonus: 6% of FPRN:	$ 233,008
Total	$4,116,479

Ranking Projects in Tier 1 and Tier 2:

Projects submitted to HUD in Tier 1 are expected to be funded, provided that the project meets HUD eligibility and threshold requirements.

Tier 2 projects will be awarded funds by HUD based on a computed comparative score using:
- the COC 's FY2017 application competitive score;
- the rank the COC gives the project;
- commitment to Housing First/low-barrier entry.

Priority List (Projects Ranking-Tier 1 and Tier 2:

Project applicants will be informed via e-mail when the Priority Listings have been posted on the ADOH website.

Review Process:

A rating panel will review and score all submitted applications. Any bonus or reallocation project selected for submission to HUD will be included in the prioritized, ranked project list.

Match:

Bonus and reallocation projects are required to identify a twenty-five percent (25%) match. Match must meet the requirements of 24 CFR part 578. Match must be equal to or greater than twenty-five percent (25%) of the total grant request for all eligible costs including admin costs but excluding leasing costs (i.e. leased units and leased structures). Program income (such as rent) can be used as match.

If the application is successful, match letters will be required to be submitted by September 15, 2017 by 5:00 p.m.

In addition, if the application is ultimately approved as part of the BOSCOC NOFA application, prior to contract execution, a Memorandum of Understanding (MOU) will be required between the agency and partners that provide significant support. The MOUs required will be identified through discussion with ADOH staff.

If the bonus or reallocation project is successful in being recommended for funding, additional information will be needed to complete the HUD application in e-SNAPS. Be prepared to set aside time to work with Candee Stanton in providing that information. Items will include:

- match letters;
- Certification of Consistency with the Consolidated Plan if the project covers any of the following communities: Flagstaff, Prescott, Yuma, Douglas, Casa Grande and Sierra Vista;
- 501(c)(3);

- Full budget information;
- Drug Free Work Place Certification;
- Code of Conduct, if not already on file;
- Additional information required by HUD (i.e. detail related to households served and type of housing to be provided).

Appeals Process:

Project applicants that submitted a bonus or reallocation project will be informed via e-mail of the funding recommendations of the BOSCOC.

Projects wishing to file an appeal of a rejection to the BOSCOC must file a written appeal with the ADOH Special Needs within seventy-two (72) hours of being notified of the projects' initial rejection. Funding recommendations made by the BOSCOC after consideration of any local appeals shall be final.

Projects that believe they were not allowed to participate in a fair and open process and were rejected by the BOSCOC also may appeal the rejection directly to HUD by submitting a project application as a solo application in e-SNAPS prior to the HUD application deadline of September 28, 2017, per HUD's instructions in e-SNAPS and/or the NOFA.

Submittal Timelines/Process:

The process for submittal of documents has changed. Documents **must** be submitted in electronic format via the ADOH Special Needs Portal located at: https://housing.az.gov/portals/document-upload-portals. The name of the file must be labeled **AZ500NEW – (Agency Project Name) or AZ500Reallocation (Agency Project Name)** (i.e. AZ500NEW XYZ, Inc. Morningstar). The Application needs to be a Word Document; Project Certification(s) and match letters may be PDF's.

Please call Candee Stanton at (602) 881-6606 if you have any questions about how to complete the information.

Please call Michele Meyerkorth at (602) 771-1020 if you have questions about submitting through the portal.

Key Definitions

- Permanent Supportive Housing: Permanent housing with rental assistance and supportive services to help disabled, chronically homeless persons to live independently.
- Rapid Re-housing: Permanent housing with case management and short- or medium-term rental assistance in a unit that the program participant retains after the assistance ends.
- Th and PH-RRH: A new project type consisting of two program components—transitional housing and permanent housing-rapid rehousing in a single project. The purpose of these project is to serve individuals and families experiencing homeless. Refer to section V.G.2.c(2) of the 2017 NOFA for additional information which can be found here. https://www.hudexchange.info/resource/5419/fy-2017-coc-program-nofa/

Any bonus project requested must serve only persons who meet the criteria and definition of chronically homeless. Both individuals and families can be served.

All bonus projects must limit project administrative costs to no more than seven percent (7%) of the project budget. Five percent (5%) is passed through to the sub-recipient and two percent (2%) is retained by ADOH.

Project Evaluation

Once bonus/reallocation projects are submitted, they will be evaluated by independent reviewers who are familiar with the AZBOSCOC but are not current recipients. The application will be scored as follows:

Category	Maximum Points
1. Experience Capacity	**10**
2. Unmet Need	**10**
3. Serving individuals who meet the definition of Chronically homeless	**10**
4. Outreach	**3**
5. Housing First	**10**
6. Wraparound/Support Service	**5**
7. Coordinated Entry/Case Conferencing	**8**
8. Mainstream Resources	**6**
9 SSDI/SOAR	**5**
10. Employment	**5**
11. Education	**5**
12 Barriers	**5**
13 Permanent Housing	**10**
14. Domestic Violence	**5**
15. Local PIT/COC participation	**3**
Reviewed by ADOH, But not Scored Budget Reasonableness	

2017 BOS COC

Bonus/Reallocation Project Application

Limit the application to 25 pages. Use the same font that the application questions are in. Additional information about the NOFA process may be found at:

https://www.hudexchange.info/resource/5419/fy-2017-coc-program-nofa/

Please delete all previous pages of this document when submitting the application. The first page of the application is this one.

Name of Agency:	**Number of Projects in the COC under contract with ADOH (if any):**
Contact Person:	**Phone Number:**
Agency EIN:	**Agency DUNS:**
If requesting reallocation, what is the name of the current project?	**What will be the name of reallocated project if different?**
Congressional District of the Applicant:	**Congressional District where the project will be located:**
(Check one) ☐ **Reallocation** **New Bonus** Permanent housing ☐PSH ☐RRH) ☐TH-RRH All projects must focus on those who experience chronic homelessness**)**	**Total Amount Requested:** **(if reallocation, cannot exceed the amount that is allocated to the current project for which reallocation is being requested** $
If reallocation, what type of project is the reallocation from?	**If reallocation, what type of project is proposed?**

Are there sub-recipient Organizations for this project? If yes, please list agency name.

Budget Request: This is a simple budget request. If the project is approved for submission to HUD, a more detailed budget will be required for the submission. Provide costs for project operation for one year:

Category	Amount
Tenant Based Rental Assistance	
Leasing Costs	
Supportive Services (includes RRH Stabilization Services)	
Financial Assistance (RRH Rent, Security/Utility deposits)	
Admin Costs (must be no more than seven percent (7%) of project costs)	
Total	

Leasing or Rental Assistance: It is understood that FMRs change from year to year. For this application, use 2017 FMR's to estimate the number and type housing that will be provided as a part of the project:

https://www.huduser.gov/portal/datasets/fmr.html

(Add rows to this table to accommodate additional counties/communities with different FMRs)

Total Estimated Units and Beds					
Units		Number of units dedicated CH			
Beds		Number of those beds dedicated CH:			
Number of Bedrooms	**County**	**# of Units**	**FMR**	**X 12**	**Estimated Total**
0 Bedroom					
1 Bedroom					
2 Bedroom					
3 Bedroom					

2017 AZBOSCOC Bonus/Reallocation Project Narrative

I.   General Questions

1. Provide a description that addresses the entire scope of the proposed project. (For projects that would like to serve more than one (1) county within the COC, please indicate the amount of funds you estimate will be needed to serve each county.)

2. How will the project effectively serve households that meet the definition of chronically homeless?

3. Using available data, describe the unmet need for the target population in the proposed community.   Unmet need description must include data from the most recent point in time as well as information from current performance measures from the Local CoC area.

4. Describe the experience of the applicant and potential sub-recipients (if any) in performing the activities and serving the target population proposed in the application. If currently operating similar project or serving a similar population, please provide performance outcomes from the current projects.

5. Describe your financial operations including checks and balances and how you determined costs and budget reasonableness for the proposed project.

6. Describe the experience of managing and leveraging other federal, state, local and private sector funds.

7. Describe the organization and management structure. Include evidence of internal and external coordination and an adequate financial accounting system.

8. Describe the estimated schedule for the proposed activities, the management plan, and the method for assuring effective and timely completion of all work.

9. How many households do you estimate serving in 12-month period of time? What kinds of households will be served (i.e. individuals, families)?

10. How will support/wraparound services be accessed or provided? Please provide any collaborations or partnership utilized to provide or enhance support/wrap-around services.

11. Describe the outreach plan to bring homeless participants into the project:

12. Provide the percentage of project participants that will be coming from the following: (Total must add to 100)

	Directly from the street or other locations not meant for human habitation.
	Directly from emergency shelters
	Persons fleeing from Domestic Violence
	Total

13. How does your agency currently participate in Local Continuum of Care meeting that includes where the project will be located?

14. Did your agency participate in the 2017 Point in Time Count that took place in your community? If yes, what was your agency's involvement?

II.   Coordinated Entry and Case Conferencing

1. Explain how Coordinated Entry is working in your community.   How does your agency participate?

2.   What is the percentage of individuals that you anticipate will access the proposed program through the local coordinated entry process?

3. Describe interaction with partners and how referrals for this project will occur.

4. Is case conferencing occurring in your community? If so, describe.

    a. Does your agency participate?

    b. How is it determined which households are addressed as a part of case conferencing?

    c. Does case conferencing occur on an ad hoc basis or on a scheduled basis.

    d. If it is scheduled, how often?

5. What agencies in your local community(ies) participate in case conferencing?

III.   Mainstream Resources
1. Describe how you coordinate and interact with each of the following mainstream resources or activities. Please explain how you coordinate for each area listed.   Please

indicate if you have any formal agreement or MOU related to the partnership. If you do not interact with one (1) of these resources, please state why.

   a. HOPWA

   b. TANF/SNAP

   c. Runaway and Homeless Youth Programs

   d. Veterans

   e. Head Start

   f. School Districts

   g. ESG

   h. Child Welfare

   i. Law Enforcement

   j. Jails/Prisons

   k. Behavioral Health Agencies/RBHA

   l. Domestic Violence

   m. Individuals who identify as LGBTQ

IV.   Insurance and SSI/SSDI

1. How do you help participants connect to AHCCCS or the Insurance Marketplace?

2. How are you coordinating services for participants provided by Medicaid?

3. How are you coordinating or obtaining SSI/SSDI for participants?

4. Do you currently have staff who is SOAR trained?

   If not, anyone on staff enrolled in SOAR training? When will it be completed?

5. If no staff are trained in SOAR, do you have a SOAR contact? With which agency?

6. Does every participant in your program get connected to your SOAR contact? If not, why?

7. Who are your partners and what services will they provide in support of the participants?

V. Housing First

1. How will the Housing First be implemented related to the project?

2. Does the project ensure that participants are not screened out based on the following? Select all that apply:
☐ Having too little or no income.
☐ Active or history of substance use.
☐ Having a criminal record with the exception of state-mandate restrictions.
☐ History of victimization (e.g. domestic violence, sexual assault, childhood abuse).
☐ None of the above.

Briefly explain how the areas checked will be addressed once the individual has been housed.

3.   Will the project ensure that participants are not terminated from the program for the following reasons:
☐ Failure to participate in supportive services.
☐ Failure to make progress on a service plan.
☐ Loss of income or failure to improve income.

☐ Any other activity not covered in a lease agreement typically found for unassisted persons in the geographic area.

☐ None of the above

VI.   Homelessness and Criminalization

1. Provide information about your communities' policies and/or ordinances related to homelessness and criminalization.

2. What is your involvement with educating elected officials, city and county officials and law enforcement about the impact of criminalization and alternative processes that are effective?

3. What interactions do you have with jails and prisons in your communities?

4. How do you outreach to jails and prisons to ensure that individuals released do not become homeless? How does the community reach out and serve those recently released offenders?

VII.   Employment/Income

1. What agencies do you work with to help participants become employed?

2. What specifically do you do to assist participants to both increase their employment and/or other income sources (i.e. benefits) to maximize their ability to live independently.

VIII. Education

1. How does the agency ensure children are enrolled in school and receive educational services, as appropriate? *(Answer N/A **only** if you do not serve families with children or unaccompanied youth.)*

IX.   Permanent Housing

1. Describe how participants will be assisted to obtain and remain in permanent housing.

X.   Domestic Violence Survivors

1. Describe how coordination occurs with victim service providers and non-victim service providers to ensure survivors of domestic violence are provided housing and services that provide and maintain safety and security.

XI.   Consolidated Plan

1. If you are in one (1) of the following counties, there are entitlement cities within the jurisdiction: Yuma (Yuma), Cochise (Douglas and Sierra Vista), Pinal (Casa Grande), Yavapai (Prescott) and Coconino (Flagstaff).   How do you participate with the Consolidated Plan jurisdiction? (If the project is chosen to be included in the AZBOSCOC submittal, you will be required to obtained a signed certification of consistency with the consolidated plan from the appropriate jurisdiction.)

2017--AZ BOSCOC

Evidence of the COCs Communication

To Rejected Projects

Not applicable

September 2017
Arizona Department of Housing (ADOH) and (CA)
Balance of State Continuum of Care (BOSCoC)
Bonus--New Project Process for Announcement, Review and Ranking

The general AZBOSCOC NOFA process, including notification, ranking and review and approvals is documented in the AZBOSCOC Governance Advisory Board Operations Handbook/Manual. The policy notes that the general policy may be amended in a given year to reflect annual NOFA requirements or changes. The following is the process used by the AZBOSCoC related to the Announcement, Review and Ranking of new applications in 2017:

- Upon HUD notification of available bonus funding, the Arizona Department of Housing (CA) notifies possible interested parties via the ADOH Housing Bulletin which is sent to the entire BOSCoC and ADOH distribution list which includes both COC participants as well as statewide housing. The bulletin is then posted on the ADOH/BOSCoC website which occurred on August 11, 2017. Applicants submitted applications within the required time period. Applicants were able to submit separate applications for permanent supportive housing for households that meet the definition of chronically homeless or rapid rehousing.
- AZBOSCoC Governance Advisory Board (GAB) representatives without conflict of interest met prior to release of the application to review NOFA priorities and approve scoring and objective evaluation criteria for the 2017 process. DV providers were included in overall scoring methodology.
- GAB also discussed Continuum re-allocation strategy for CoC. It was agreed to not utilize reallocated funding for CE in this NOFA cycle, but to allow agencies to elect to reallocate to better serve their target geography and service needs.
- Bonus/Reallocation applications received, were reviewed by a panel of five neutral individuals but familiar with requirements and needs, all current or former program Directors/Managers in the housing arena or members of key stakeholders' groups including current RBHA representatives and a representative from AZDES who oversees ESG Consolidated Plan for geography that incorporates AZBOSCOC. Each application was scored using scoring tools and review materials that had previously been approved by the BOSCoC Governance Advisory Board.
- Projects were ranked based on average score from all reviewers. GAB reviewed and approved final new project rankings on September 11, 2017 as part of overall Ranking and Review process for all projects.

- Project applications that were not included in the AZBOSCoC NOFA application and Tier 2 programs were contacted September 12, 2017 prior to publication of results.
- Two new PSH projects were submitted and approved. Notification about the approval was posted through the Arizona Department of Housing bulletin on September 13, 2017 and posted on ADOH/AZBOSCOC website. The applications were chosen to be submitted as they scored above 70% of the possible combined score of the review panel. Had they scored below 70% no bonus projects would have been submitted.
- Official Tier One and Two rankings were posted as an ADOH Bulletin on the ADOH website on September 13, 2017.

September 2017
Arizona Department of Housing
Balance of State Continuum of Care (BOSCoC)
Renewal Project Process for Review and Ranking

The following is the process used by the AZBOSCoC for the Review and Ranking of renewal applications in 2017:

- Notice of the application process was posted via ADOH Housing Bulletin on August 11, 2017.
- BOSCoC Governance Advisory Board reviewed and accepted ranking criteria for renewal applications.
- Renewal applications were scored based on the following information: the APR, information provided by sub-recipients as part of a local questionnaire, and information from ADOH contract monitoring activities. (Specific Criteria is attached and is posted at the ADOH website).
- Renewal applications were scored based on the criteria and ranked based upon score. GAB members without conflicts of interest reviewed ranking and review scoring and approved limited exceptions to scoring to address HMIS renewal, geographic coverage and to address a new re-allocated project that could not be scored due to service start date. GAB also approves the assignment of projects between Tiers 1 and 2. GAB approves final ranking and review on September 12, 2017.
- Projects were notified about project acceptance on September 13, 2017 via ADOH Housing Bulletin.
- Official Tier One and Two rankings were posted as an ADOH Bulletin on the ADOH website on September 13, 2017.

September 2017
Arizona Department of Housing
Balance of State Continuum of Care (BOSCoC)
Reallocation Project Process for Identification, Announcement, Review and Ranking

The following is the process used by the AZBOSCoC for the identification, announcement, review and ranking of projects funded through reallocation.

- ADOH is the recipient of funds for BOSCoC and contracts with sub recipients for RRH, TH, and PH projects. As a result of this relationship, ADOH has an established process of monitoring sub-recipient performance. Reallocation is considered when a sub-recipient has not responded to ADOH monitoring findings within proscribed timelines and proscribed manner or when the project is no longer viable within the continuum because of change in service demands. Reallocation only takes place after a process that provides an opportunity for the sub recipient to respond with corrective action fails.
- Current projects were considered for reallocation when it was determined by the BOSCoC and the recipient that the community would be better served by changing the program from TH, and aligning to HUD priorities related to permanent supportive housing for households that have been chronically homeless and rapid rehousing focused on families.
- The BOSCoC has reallocated funds as a part of the NOFA process since 2013.
- Once it is determined that funds are available due to reallocation, the process used to solicit applications is the same as that used for the bonus application and was posted on August 11, 2017.
- The Arizona Department of Housing (CA) notifies interested parties via the ADOH bulletin announcement of availability to ADOH website.
- Applicants submitted applications within the required time period. Applicants were able to submit applications for rapid rehousing and permanent supportive housing.
- Applications received were reviewed by a panel of five individuals outside of the CoC but familiar with requirements and needs, all former program Directors/Managers in the housing arena. Each application was scored using a review sheet that had been previously approved by the BOSCoC Governance Advisory Board.
- One application for reallocation was approved for submittal in the 2017 BOSCoC application. The application was reallocated from TH to RRH.
- Official Tier One and Two rankings were posted as an ADOH Bulletin on the ADOH website on September 13, 2017

Documentation of Process

The following documents are attached in ESNAPS to document this process:

1. Project application for bonus and reallocation projects.
2. Project application and scoring tools for renewal projects.
3. Scoring Sheet for bonus projects and reallocation projects.
4. ADOH Bulletin -August 11, 2017 Announcing funding availability and application process.
5. ADOH Bulletin –September 13, 2017 Announcing all renewal applications would be funded as well as one bonus application and three projects for reallocation.
6. ADOH Bulletin-September 13, 2017 Announcing Official Tier One and Tier Two Ranking
7. ADOH Bulletin August 11, 2017 as part of the application process.

2017 Balance of State Continuum of Care Application
Project Scoring Worksheet (Please complete one scoring worksheet for each application)
Bonus or Reallocation Project

Your Name_____

Name of Agency_____

Project Name_____

Is this a bonus or reallocation application?
- ☐ **Bonus**
- ☐ **Reallocation**

1. **Experience/ Capacity**	**Was the description of experience sufficient? Was is clear that the agency has previous experience and capacity to implement the proposed project?**	**Maximum 10 Points**
Comments:		**Score**
2. **Unmet Need**	**Was the unmet need in the community that this project will address described sufficiently? Was local data used to describe need. Was the 2017 Unsheltered Count cited as part of the data used?**	**Maximum 10 points**
Comments:		**Score**
3. **Serving Chronically Homeless**	**Did the applicant clearly articulate that the target population are households that meet the definition of Chronically Homeless?**	**Maximum 10 points**
Comments		**Score**
4. **Outreach**	**Did the applicant describe how outreach will take place?**	**Maximum 3 points**
Comments:		
5. **Housing First**	**Did the applicant clearly describe how the project would be operated using the Housing First principles?**	**Maximum 10**

		Score
6. Wraparound/ Support Service	Was the description of how the client/tenant connects to wraparound services sufficient? Were examples provided?	**Maximum 5 points**
Comments:		**Score**
7. Coordinated Entry/ Case Conferencing	Did the response include the use of the VI-SPDAT and the local coordinated entry process? Was the process used for case conferencing described? Was there a description about how community partners are in involved in case conferencing?	**Maximum 8 points**
Comments		**Score**
8. Mainstream Resources	Did the response provide a sufficient overview about how the client/tenant is connected to mainstream resources?	**Maximum 6 points**
		Score
9. SSDI/SOAR	Did the response describe how clients/tenant are connected to SSDI benefits or a SOAR trained individual to apply for benefits	**Maximum 5 points**
Comments		**Score**
10. Employment	Did the response describe how the client/tenant would be connected to employment support and what types of employment support are provided	**Maximum 5 points**
Comments		**Score**
11. Education	If applicable did the response describe how the agency works with homeless school liaisons or help clients/tenants in enrolling in education activities?	**Maximum 5 points**

Comments		Score
12. Barriers	**Did the response describe how barriers will be removed?**	**Maximum 5 points**
Comments		Score
13. Permanent Housing	**Did the response describe how clients/tenants will be supported in remaining or obtaining permanent housing**	**Maximum 10 points**
Comments		Score
14. Domestic Violence	**Did the response describe how the project will make a connection with DV providers?**	**Maximum 5 points**
Comments		Score
15. Local COC/PIT	**Did the response describe that the applicant is involved in the local COC and participated in the Point In Time Count**	**Maximum 3**
Comments		

For Arizona Department of Housing Use Only

Budget Reasonableness—reviewed but not Scored. Are the requested budget items reasonable for the community that will be served?

<p style="text-align:center;">**Agency Renewal Application**</p>
<p style="text-align:center;">**Self -Scored Questions**</p>

For each of the following questions self-score your activities related to the specific area for your agency:

Question	Response	Self-Score
Compliance/COC Participation		
1. Participation in Continuum of Care		
Based on participation starting with statewide meeting at ACEH (now the Arizona Housing Coalition) conference in October 2016 through July 2017 Local COC meetings. Which meetings has your agency sent a representative? Check all that Apply _____The BOS meeting at the ACEH (now AHC) Conference _____The statewide meeting to discuss reorganization to Local COC _____My agency has representatives on BOSCOC subcommittees. If yes, indicate which subcommittee(s)_____ Not Scored: _____How many local COC meetings were available to attend? _____How many local COC meetings did your agency attend? _____My agency is the representative from the local COC to the statewide regional representatives' meeting.	**Score**
2. Unsheltered Point in Time Count		
3 points Agency staff coordinated all aspects of the local unsheltered PIT count. (one point as bonus point) 2 points Representatives from the agency actively participated in unsheltered PIT count (administer multiple surveys, coordinated volunteers, distributed incentives) 0 points Agency representatives did not participate in the local unsheltered count.	**Score**
Targeted -Hard to Serve Populations/Low Barrier		
3. Housing First-One point for each principle implemented (maximum 5 points)		

Question	Response	Self-Score
□ Applicants are allowed to enter the program without income.		**Score**
□ Applicants are allowed to enter the program even if they aren't clean and sober or treatment compliant.		
□ Applicants are allowed to enter the program even if they have criminal justice system involvement except for the allowed exemptions.		
□ Service and treatment plans are voluntary. Tenants cannot be evicted for not following through.		
□ We have an identified services partner. ___We provide services. ____External partner provides services. Name external partners_____		

Describe your Housing First approach and score your agency based on the scale above. How quickly are participants moved into permanent housing? How is Housing First institutionalized within your agency by policy, by practice?

4.   (NOT SCORED) Provide an example of how the agency has promoted the use of PIT count information from this year or previous years to inform the community(ies) about the issue.

5.   (NOT SCORED) Provide an example about how the agency has used the PIT count information from this year or previous years to contribute to local planning activities to eliminate homelessness in the community(ies).

Question	Response	Self-Score

2017 BOSCOC

Project Questionnaire

Complete a form for each **project** the agency has under contract with ADOH through the COC.

Copy this form for each project as needed.

Name of Agency:	
Contact Person:	**Phone Number:**
Name of Project	
Project is (check all that apply) 　☐PSH 　☐RRH 　☐Leased Units 　☐Tenant Based Rental 　☐Project Based Units 　☐Transitional Housing	**At a point in time when fully occupied:** **Number of Units:** _____ **Number of Beds:** _____ **Number of beds dedicated to CH based on project contract:** _____ **Number of beds dedicated to veterans based on project contract:** _____
1. Review your current project description in the 2016 project application. Provide an updated description, **limited to 1,000 characters**, based on changes such as projects that have been combined, changes in services, new community partnerships, etc. Please write each section below in complete sentences. **Every Project must have an updated project description for 2017:** Provide narrative for each section below: Name of Project: County (ies) project is located in: Type of Project: Target Population	

Did the Project change in any way since the last NOFA? (i.e. reallocated, combined with another project):

What need is the project meeting? (provide data)

What supportive services are provided and by whom?

Who are your agency partners for this project?

Refer to your most recent APR and HMIS data to calculate score.

Self-score each project based on the following criteria/attributes:

Criteria/Attribute	Scale/Points	Self-Score
Compliance/COC Participation		
1. HMIS Data Quality	7-All client data entered within 7 days. 5-80% of client data entered within 7 days 0—79% or less of client data not entered within 7 days	
	7 Data Quality is 100% 6 Data Quality is 95%-99% 0 Data Quality is 94% or below	
2. Occupancy Rate for the year beginning January 2017	4 101% and above 3 91%-100% 2 80-90% 0 79% or below	
3. Case Conferencing (as defined in Definitions)	3--Involved with formal case conferencing or efforts to establish case conferencing in your community	

Criteria/Attribute	Scale/Points	Self-Score
	0 Not involved with formal case conferencing or efforts to establish case conferencing in your community.	
4. Percentage of Referrals accepted through coordinated entry	3 85%-100% 2 70%-84% 0 69% and less	
Performance		
5. For TH/RRH/PH households that exited program as a positive exit year. (APR Data—Leavers)	14—90% and above of households exited program to positive exit (i.e. for RRH—they may exit program but still stay housed in current location successfully. 10—85%-89% above of households exited program to positive exit (i.e. for RRH—they may exit program but still stay housed in current location successfully. 0---Less than 85% of households exited program to positive exit (i.e. for RRH—they may exit program but still stay housed in current location successfully	
6. For PSH households (stayers), were retained in housing at least 6 months	14---85% and above of PH households stayed in housing at least 6 months. 10- 75%-84% of PH households stayed in housing at least 6 months. 0--- Less than 74% of PH households stayed in housing at least 6 months.	
OR For RRH or TH households (stayers) were retained in housing at least 90-120 days	14---85% and above of RRH or TH households stayed in housing at least 90 to 120 days. 10- 75%-84% of RRH or TH households stayed in housing at least 90 to 120 days. 0--- Less than 74% of RRH or TH households stayed in housing at least 90 to 120 days.	
7. Households that maintained or increased employment income	6 25%-or more of HHs served 3 10%-24% of HHs served	

Criteria/Attribute	Scale/Points	Self-Score
	0 9% or less of HHs served	
8. Households that maintained or increased benefit income	6 85%-100% of HHs served 3 45%-84% of HHs served 1 15% - 44% of HHs served 0 14% or less of HHs served	
Did any households lose benefits during the operating year? If yes, explain the circumstances.		
Cost Effectiveness/Reasonableness		
9. Request for payment submitted to ADOH on time for the previous twelve (12) months. *(Submitted within thirty (60) days for the previous month.)*	2 100% of payment requests submitted on time 1 80%-99% of payment requests submitted on time 0 79% or below of payment requests submitted on time	

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Publications

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INFORMATION BULLETINS

IB 33-17 2017 BOSCOC NOFA Project Listing	IB 32-17 2017 NOFA - HUD Balance of State Continuum of Care
IB 31-17 2018 QAP – First Draft Release and Focus Groups	IB 30-17 Request for Information (RFI) & Letters of Intent (LOI) for State-wide Housing Locator Services for Supportive Housing & Rapid Rehousing
IB 29-17 2017 NOFA-HUD Balance of State Continuum of Care	IB 28-17 2017-2018 Annual Action Plan Revisions
IB 27-17 2018 Qualified Allocation Plan - Requests for Comments	IB 26-17 List of 2017 Reservations Posted
IB 25-17 Revised Special Needs Housing Manual	IB 24-17 Federal Fiscal Year 2017 Formula Allocations for CDBG, HOME, HOPWA, ESG
IB 23-17 Notice of Funding Availability for State Housing Funds Owner Occupied Housing Rehabilitation (OOHR)	IB 22-17 HOME, HTF, CDBG, NSP Program Income & Rent Limits
IB 21-17 Notice of Funding Availability HUD 811 PRA	IB 20-17 Balance of State/Arizona Coalition to End Homelessness (AZCEH) Training Needs Survey
IB 19-17 Notice of LIHTC Property Seeking Qualified Contract	IB 18-17 CDBG Applications
IB 17-17 Amendment to NOFA Permanent Supportive	IB 16-17 Notice of LIHTC Property Seeking Qualified Contract

HELPFUL LINKS

Publication Archives

Community Profiles(based on 2000 census)

Forms

https://housing.az.gov/sites/default/files/documents/files/IB-33-17-2017-BOSCOC-NOFA-Project-Listing_0.pdf

Secure | https://housing.az.gov/documents-links/forms/special-needs-continuum

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2017 BALANCE OF STATE CONTINUUM OF CARE NOFA

2017 Project Ranking	Bonus/Reallocation Application
Application Project Scoring Worksheet	Renewal Applications
Form 2991 Certification of Consistency with the Consolidated Plan	BOSCOC NOFA Match Letter Template
Code of Conduct-Conflict of Interest	

LINKS

SPECIAL NEEDS ARCHIVES

2016 Request for Proposal Questions and Answers (05/24/16)

Training Video - Special Needs Housing Manual

POINT IN TIME REPORTS

2017 PIT BOSCOC Narrative Report

2017 PIT Summary

2017 Youth Summary

2017 Veterans Summary

2017 Subpopulations

Arizona Department of Housing
2017 Information Bulletin

REGARDING PROGRAMS: Balance of State Continuum of Care
REGARDING FUNDING SOURCES: HUD McKinney-Vento Continuum of Care

INFORMATION BULLETIN No. 29-17	
ISSUED:	**August 11, 2017**
RE:	**2017 NOFA - HUD Balance of State Continuum of Care**

Through the US Department of Housing and Urban Development (HUD) 2017 Continuum of Care Program Competition, the Arizona Department of Housing (ADOH) expects to conditionally allocate approximately $4.11 million through the Balance of State Continuum of Care process to serve individuals and families experiencing homelessness in the AZ Balance of State Continuum of Care. This amount includes $3.88 million in potential renewal and re-allocation of existing grants, and $233,008 for a potential new/bonus project or projects. Final award amounts will be based upon HUD funding availability. The deadline for submission of Renewal and/or Re-Allocation/New Projects is **Friday, August 25, 2017 by 5 p.m.** Applications can be submitted through the ADOH Special Needs portal at https://housing.az.gov/portals/document-upload-portals/special-needs-portal.

Separate applications for renewal projects and re-allocation/new projects are attached here along with templates for match letters and certifications for consistency with local consolidated plans. Materials will also be available on the ADOH Special Needs- CoC Forms at https://housing.az.gov/documents-links/forms/special-needs-continuum.

Balance of State Continuum of Care 2017 NOFA Process Timeline

Item	Due Date
Match worksheet sent to subrecipients	8/15/17
Renewal, Bonus/Reallocation applications due submitted through ADOH portal by 5:00 pm	8/25/17
For Renewal Applications, Match Letters and Certificates of Consistency with Consolidated Plan (Submit through ADOH Portal)	9/8/17
Notification of project acceptance renewal applications	9/13/17
Notification of acceptance of new or bonus/reallocation projects for submittal	9/8/17
New or Bonus/Reallocation projects submit additional required information (based on feedback from Candee Stanton)	9/15/17
AZ BOSCOC submits application (Bonus/Reallocation, Renewal, Planning, and BOSCOC narrative)	9/28/17

Eligible Applicants: Eligible renewal and re-allocation applicants are those current BOSCOC funded programs with grant expiration dates in calendar year 2018. Eligible applicants for new/bonus project funding include non-profits, and instrumentalities of state or local government. All projects funded through the 2017 Balance of State Continuum of Care NOFA may be delivered and serve individuals experiencing homelessness in all Arizona Counties except for Maricopa and Pima.

Please contact Balance of State Continuum of Care Coordinator with any questions regarding this bulletin.

David Bridge
Balance of State Continuum of Care Coordinator
David.bridge@azhousing.gov
1110 W. Washington St., Suite 280, Phoenix, Arizona 85007
602.771.1039

September 2017
Arizona Department of Housing (ADOH) and (CA)
Balance of State Continuum of Care (BOSCoC)
Bonus--New Project Process for Announcement, Review and Ranking

The general AZBOSCOC NOFA process, including notification, ranking and review and approvals is documented in the AZBOSCOC Governance Advisory Board Operations Handbook/Manual. The policy notes that the general policy may be amended in a given year to reflect annual NOFA requirements or changes. The following is the process used by the AZBOSCoC related to the Announcement, Review and Ranking of new applications in 2017:

- Upon HUD notification of available bonus funding, the Arizona Department of Housing (CA) notifies possible interested parties via the ADOH Housing Bulletin which is sent to the entire BOSCoC and ADOH distribution list which includes both COC participants as well as statewide housing. The bulletin is then posted on the ADOH/BOSCoC website which occurred on August 11, 2017. Applicants submitted applications within the required time period. Applicants were able to submit separate applications for permanent supportive housing for households that meet the definition of chronically homeless or rapid rehousing.
- AZBOSCoC Governance Advisory Board (GAB) representatives without conflict of interest met prior to release of the application to review NOFA priorities and approve scoring and objective evaluation criteria for the 2017 process. DV providers were included in overall scoring methodology.
- GAB also discussed Continuum re-allocation strategy for CoC. It was agreed to not utilize reallocated funding for CE in this NOFA cycle, but to allow agencies to elect to reallocate to better serve their target geography and service needs.
- Bonus/Reallocation applications received, were reviewed by a panel of five neutral individuals but familiar with requirements and needs, all current or former program Directors/Managers in the housing arena or members of key stakeholders' groups including current RBHA representatives and a representative from AZDES who oversees ESG Consolidated Plan for geography that incorporates AZBOSCOC. Each application was scored using scoring tools and review materials that had previously been approved by the BOSCoC Governance Advisory Board.
- Projects were ranked based on average score from all reviewers. GAB reviewed and approved final new project rankings on September 11, 2017 as part of overall Ranking and Review process for all projects.

- Project applications that were not included in the AZBOSCoC NOFA application and Tier 2 programs were contacted September 12, 2017 prior to publication of results.
- Two new PSH projects were submitted and approved. Notification about the approval was posted through the Arizona Department of Housing bulletin on September 13, 2017 and posted on ADOH/AZBOSCOC website. The applications were chosen to be submitted as they scored above 70% of the possible combined score of the review panel. Had they scored below 70% no bonus projects would have been submitted.
- Official Tier One and Two rankings were posted as an ADOH Bulletin on the ADOH website on September 13, 2017.

September 2017
Arizona Department of Housing
Balance of State Continuum of Care (BOSCoC)
Renewal Project Process for Review and Ranking

The following is the process used by the AZBOSCoC for the Review and Ranking of renewal applications in 2017:

- Notice of the application process was posted via ADOH Housing Bulletin on August 11, 2017.
- BOSCoC Governance Advisory Board reviewed and accepted ranking criteria for renewal applications.
- Renewal applications were scored based on the following information: the APR, information provided by sub-recipients as part of a local questionnaire, and information from ADOH contract monitoring activities. (Specific Criteria is attached and is posted at the ADOH website).
- Renewal applications were scored based on the criteria and ranked based upon score. GAB members without conflicts of interest reviewed ranking and review scoring and approved limited exceptions to scoring to address HMIS renewal, geographic coverage and to address a new re-allocated project that could not be scored due to service start date. GAB also approves the assignment of projects between Tiers 1 and 2. GAB approves final ranking and review on September 12, 2017.
- Projects were notified about project acceptance on September 13, 2017 via ADOH Housing Bulletin.
- Official Tier One and Two rankings were posted as an ADOH Bulletin on the ADOH website on September 13, 2017.

September 2017
Arizona Department of Housing
Balance of State Continuum of Care (BOSCoC)
Reallocation Project Process for Identification, Announcement, Review and Ranking

The following is the process used by the AZBOSCoC for the identification, announcement, review and ranking of projects funded through reallocation.

- ADOH is the recipient of funds for BOSCoC and contracts with sub recipients for RRH, TH, and PH projects. As a result of this relationship, ADOH has an established process of monitoring sub-recipient performance. Reallocation is considered when a sub-recipient has not responded to ADOH monitoring findings within proscribed timelines and proscribed manner or when the project is no longer viable within the continuum because of change in service demands. Reallocation only takes place after a process that provides an opportunity for the sub recipient to respond with corrective action fails.
- Current projects were considered for reallocation when it was determined by the BOSCoC and the recipient that the community would be better served by changing the program from TH, and aligning to HUD priorities related to permanent supportive housing for households that have been chronically homeless and rapid rehousing focused on families.
- The BOSCoC has reallocated funds as a part of the NOFA process since 2013.
- Once it is determined that funds are available due to reallocation, the process used to solicit applications is the same as that used for the bonus application and was posted on August 11, 2017.
- The Arizona Department of Housing (CA) notifies interested parties via the ADOH bulletin announcement of availability to ADOH website.
- Applicants submitted applications within the required time period. Applicants were able to submit applications for rapid rehousing and permanent supportive housing.
- Applications received were reviewed by a panel of five individuals outside of the CoC but familiar with requirements and needs, all former program Directors/Managers in the housing arena. Each application was scored using a review sheet that had been previously approved by the BOSCoC Governance Advisory Board.
- One application for reallocation was approved for submittal in the 2017 BOSCoC application. The application was reallocated from TH to RRH.
- Official Tier One and Two rankings were posted as an ADOH Bulletin on the ADOH website on September 13, 2017

Documentation of Process

The following documents are attached in ESNAPS to document this process:

1. Project application for bonus and reallocation projects.
2. Project application and scoring tools for renewal projects.
3. Scoring Sheet for bonus projects and reallocation projects.
4. ADOH Bulletin -August 11, 2017 Announcing funding availability and application process.
5. ADOH Bulletin –September 13, 2017 Announcing all renewal applications would be funded as well as one bonus application and three projects for reallocation.
6. ADOH Bulletin-September 13, 2017 Announcing Official Tier One and Tier Two Ranking
7. ADOH Bulletin August 11, 2017 as part of the application process.

2017 Balance of State Continuum of Care Application
Project Scoring Worksheet (Please complete one scoring worksheet for each application)
Bonus or Reallocation Project

Your Name_____

Name of Agency_____

Project Name_____

Is this a bonus or reallocation application?
- ☐ **Bonus**
- ☐ **Reallocation**

1. Experience/ Capacity	**Was the description of experience sufficient? Was is clear that the agency has previous experience and capacity to implement the proposed project?**	**Maximum 10 Points**
Comments:		**Score**
2. Unmet Need	**Was the unmet need in the community that this project will address described sufficiently? Was local data used to describe need. Was the 2017 Unsheltered Count cited as part of the data used?**	**Maximum 10 points**
Comments:		**Score**
3. Serving Chronically Homeless	**Did the applicant clearly articulate that the target population are households that meet the definition of Chronically Homeless?**	**Maximum 10 points**
Comments		**Score**
4. Outreach	**Did the applicant describe how outreach will take place?**	**Maximum 3 points**
Comments:		
5. Housing First	**Did the applicant clearly describe how the project would be operated using the Housing First principles?**	**Maximum 10**

		Score
6. Wraparound/ Support Service	Was the description of how the client/tenant connects to wraparound services sufficient? Were examples provided?	Maximum 5 points
Comments:		Score
7. Coordinated Entry/ Case Conferencing	Did the response include the use of the VI-SPDAT and the local coordinated entry process? Was the process used for case conferencing described? Was there a description about how community partners are in involved in case conferencing?	Maximum 8 points
Comments		Score
8. Mainstream Resources	Did the response provide a sufficient overview about how the client/tenant is connected to mainstream resources?	Maximum 6 points
		Score
9. SSDI/SOAR	Did the response describe how clients/tenant are connected to SSDI benefits or a SOAR trained individual to apply for benefits	Maximum 5 points
Comments		Score
10. Employment	Did the response describe how the client/tenant would be connected to employment support and what types of employment support are provided	Maximum 5 points
Comments		Score
11. Education	If applicable did the response describe how the agency works with homeless school liaisons or help clients/tenants in enrolling in education activities?	Maximum 5 points

Comments		Score
12. Barriers	Did the response describe how barriers will be removed?	Maximum 5 points
Comments		Score
13. Permanent Housing	Did the response describe how clients/tenants will be supported in remaining or obtaining permanent housing	Maximum 10 points
Comments		Score
14. Domestic Violence	Did the response describe how the project will make a connection with DV providers?	Maximum 5 points
Comments		Score
15. Local COC/PIT	Did the response describe that the applicant is involved in the local COC and participated in the Point In Time Count	Maximum 3
Comments		

For Arizona Department of Housing Use Only

Budget Reasonableness—reviewed but not Scored. Are the requested budget items reasonable for the community that will be served?

Agency Renewal Application
Self -Scored Questions

For each of the following questions self-score your activities related to the specific area for your agency:

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	3 points Agency staff coordinated all aspects of the local unsheltered PIT count. (one point as bonus point) 2 points Representatives from the agency actively participated in unsheltered PIT count (administer multiple surveys, coordinated volunteers, distributed incentives) 0 points Agency representatives did not participate in the local unsheltered count.	**Score**
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Describe your Housing First approach and score your agency based on the scale above. How quickly are participants moved into permanent housing? How is Housing First institutionalized within your agency by policy, by practice?

4.   (NOT SCORED) **Provide an example of how the agency has promoted the use of PIT count information from this year or previous years to inform the community(ies) about the issue.**

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2017 BOSCOC

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Copy this form for each project as needed.

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Contact Person:	**Phone Number:**
Name of Project	

Project is (check all that apply)	**At a point in time when fully occupied:**
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☐Tenant Based Rental	
☐Project Based Units	**Number of beds dedicated to veterans based on project contract:** _____
☐Transitional Housing	

1. Review your current project description in the 2016 project application. Provide an updated description, **limited to 1,000 characters**, based on changes such as projects that have been combined, changes in services, new community partnerships, etc. Please write each section below in complete sentences.

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Provide narrative for each section below:

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County (ies) project is located in:

Type of Project:

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9. Request for payment submitted to ADOH on time for the previous twelve (12) months. *(Submitted within thirty (60) days for the previous month.)*	2 100% of payment requests submitted on time 1 80%-99% of payment requests submitted on time 0 79% or below of payment requests submitted on time	

Arizona Department of Housing

Governance Charter

Amended: 04/21/2017

Arizona Balance of State Continuum of Care
Governance Charter*

Table of Contents

* As outlined in the Federal Register 24 CFR Part 578, Homeless Emergency Assistance and Rapid Transition to Housing: Continuum of Care Program; Interim Final Rule.

Arizona Balance of State Continuum of Care Governance Charter

1. PURPOSE

Homelessness is unacceptable in Arizona. All individuals and families have the right to safe, affordable housing in healthy communities with access to a network of supportive services.

This Charter identifies the mission, purpose, composition, roles, responsibilities, and committee structure of the Arizona Balance of State Continuum of Care (AZBOSCOC).

The AZBOSCOC is a collaboration and inclusive community-based process. The Continuum is responsible for planning and managing homeless assistance resources and services effectively and efficiently. This includes a system of outreach, Coordinated Entry, engagement, and assessment; emergency shelter; rapid rehousing; transitional housing; permanent housing; and prevention strategies to address the various needs of persons who are homeless or at risk of homelessness.

The Continuum geographic area includes thirteen (13) counties, which include: Apache, Coconino, Cochise, Gila, Graham, Greenlee, La Paz, Mohave, Navajo, Pinal, Santa Cruz, Yavapai, and Yuma.

The AZBOSCOC assists in the coordination, development, and evaluation of housing and services for homeless and at-risk of homeless persons with housing needs through planning, education, and advocacy. The AZBOSCOC provides planning and operational support to the continuum of care process including the designation of a Homeless Management Information System (HMIS).

Per this Charter, the Collaborative Applicant shall have the authority to submit the Continuum application and to apply for planning funds [578.9]. No Unified Funding Agency is established for the AZBOSCOC.

2. MISSION

The mission of the AZBOSCOC is to end homelessness within the communities it represents and serves. It will do this through a seamless and collaborative network, by assisting eligible entities in obtaining the necessary funding needed to help vulnerable, low-income individuals and families attain and maintain economic self-sufficiency. It will do this in alignment with HUD's Strategic Goals and the Federal Plan entitled "Opening Doors", as updated.

3. STRATEGIES

The AZBOSCOC utilizes the following strategies to address homelessness in the Balance of State geographic area:

- Coordinate a housing and service system within the geographic regions that meets the needs of those experiencing homelessness, including unaccompanied youth, individuals, and families. At a minimum, this system will encompass:

  - ✓ Outreach, engagement, and assessment;

  - ✓ Coordinated Entry;

  - ✓ Shelter, housing, and supportive services; and

  - ✓ Prevention strategies.

- Identify housing needs of those at risk of facing homelessness.

- Increase access to permanent housing through rapid re-housing, transitional housing, and permanent supportive housing.

- Increase access to other mainstream resources to promote housing stability.

- Coordinate services with emergency shelters including domestic violence shelters.

- Evaluate performance of services within the Balance of State through data collection and analysis.

4. **ORGANIZATION**

   A. **Local and Regional Representation**:

   The AZBOSCOC is comprised of representatives from local coalitions/alliances/networks of care. These groups represent geographically and culturally diverse communities throughout the State of Arizona. Local groups include members who are representative of local programs, community agencies, and other community stakeholders. The COC planning dollars are used to further the goals of the BOSCOC by allocating funds to each local coalitions/alliances/networks of care to be used for establishing Coordinated Entry, Case Conferencing, coordinating local meetings, and attending BOSCOC quarterly meetings in Phoenix. Local groups working to end homelessness will designate a lead agency to enter into a contract with ADOH for these planning dollars. The current local coalitions/alliances/networks of care that are working within the BOSCOC framework are:

   - Cochise County
   - Coconino County
   - La Paz County
   - Mohave County
   - Navajo County
   - Pinal County
   - Yavapai County
   - Yuma County

   The AZBOSCOC coordinates with the other two (2) independent continuums in Arizona through periodic conference call meetings and other meetings as needed including doing joint presentations at conferences.

B. **The Governance Advisory Board:**

The Governance Advisory Board is responsible for providing planning, coordination, guidance and direction for the use of U.S. Department of Housing and Urban Development (HUD) HEARTH COC resources.

Members of the AZBOSCOC Governance Advisory Board include:

- One (1) representative from the Arizona Department of Housing (ADOH).

- One (1) consumer representative (homeless or formerly homeless).

  In total, there are eleven (11) seats on the committee. A maximum of five (5) seats can be held by COC sub-recipients in order to avoid potential conflicts of interest.

  No agency can have more than one (1) person on the Governance Advisory Board.

Responsibilities

- Develop, follow, and update annually this Governance Charter, which will include procedures and policies needed to comply with HUD and HMIS requirements, including a code of conduct and recusal process.

- Provide direction and leadership for the application and data collection processes.

- Formal decisions of the AZBOSCOC regarding application selection and/or reallocation of funds.

- Strategic planning and goal setting.

- Approval of the selection of membership for standing committees.

- Align and coordinate AZBOSCOC with other homeless assistance and mainstream resources.

- Establish priorities and make decisions about the allocation of AZBOSCOC resources.

- Evaluate both system wide and individual program performance related to established measurements.

- Receive reports and recommendations from ad-hoc workgroups.

- Ensure that all necessary activities (i.e. Point In Time Count) are being implemented by local COC planning groups.

- Disseminate information to the regional COC planning group members.

- Approves policies and procedures for the AZBOSCOC.

Operation

- The representative from ADOH will serve as the Chair of the Governance Advisory Board.

- A Co-chair will be appointed from the Governance Advisory Board members.

- To accommodate for a change in terms and term limits, for the first year of the AZBOSCOC Governance Advisory Board, four (4) of the six (6) committee members will be elected for a one (1) year term and will be new-term eligible at the end of their respective staggered terms for a new two (2) year term. New members will serve a two (2) year term.

- Members of the Governance Advisory Board may serve two (2) consecutive two (2) year terms and then must wait one (1) year before serving again.

- Governance Advisory Board can add new members by a majority vote of the existing members.

- Governance Advisory Board meetings will be held on a quarterly basis. There will be two (2) meetings face to face: one (1) will be held in the spring and the other in the fall.

- The vote of a majority of members present and voting at a meeting at which quorum is present is enough to constitute an act of the Governance Advisory Board.

- Members that fail to attend regularly scheduled meetings due to an unexcused absence shall be subject to removal from the Governance Advisory Board by a vote of the Committee if they attend less than seventy-five percent (75%) of meetings.

- Review Governance Charter annually to ensure it remains consistent with the COC's objectives and responsibilities in accordance with the HEARTH Act and HUD regulations.

- When a vacancy occurs on the Governance Advisory Board, the new member will represent the same segment as the outgoing member (i.e. a sub-recipient or community representative).

C. **AZBOSCOC Standing Committees:**

In order to do the work of the continuum efficiently and effectively, standing committees were established, which include: HMIS Committee, ESG Committee, and Veteran Programs Committee. Project Review and Evaluation Committee and Point In Time Count Committee are two (2) annual ad hoc committees that will be formed each year for their respective specific purposes.

Representation for the standing committees is identified by the members of the regional COC planning groups. All standing committees with have a chair and a secretary that have been identified by the committee membership. ADOH staff will chair the HMIS committee since ADOH is the HMIS Lead Agency.

Membership in the ad hoc committees will be drawn from the entire AZBOSCOC membership.

An agenda for each standing committee meeting will be posted on the ADOH website prior to each meeting and minutes will be posted after being approved.

In addition to the standing committees, ad hoc workgroups may be established from time-to-time to complete specific tasks. The chair of these ad hoc groups will provide updates about activities to the Governance Advisory Board as needed.

Responsibilities of the AZBOSCOC Standing Committees:

NOTE: The chairs of the HMIS and Point In Time Count committees will serve as liaison between the AZBOSCOC and the Governance Advisory Board.

HMIS Committee Responsibilities

- To operate as outlined in the HMIS Governance Charter working with ADOH as the HMIS Lead Agency.

- Meet the HUD requirements to record and store client-level information on the characteristics and service needs of persons experiencing homelessness.

- Utilize a HUD approved software system.

- Overall management and training related to the HMIS system.

- Working with HMIS software provider, including review of the HMIS policies and procedures a minimum of annually.

- Assure compliance through review of quarterly data quality reports.

- Review how HMIS is functioning on a provider level.

- Develop data quality plans, security plans, and policies and procedures by which HMIS will be governed.

ESG Committee Responsibilities

- The contact point related to coordination to ESG services among DES and other stakeholders.

Veterans Programs Committee Responsibilities

- To improve communication among agencies serving veterans through a variety of programs including COC, SSVF, GPD, and VASH.

- To create efficient referral services, and identify and address gaps in services.

- To work with HUD TA staff for Vets@Home Technical Assistance.

- Develop By-Name List of all known veterans experiencing homelessness.

- Manage By-Name List through Case Conferencing/sub-committee.

Annual Ad Hoc Committees

Project Review and Evaluation Committee Responsibilities

- Develop and update annually the evaluation tool(s).

- Review, score, and rank renewal projects and new projects that will be submitted during the annual NOFA process.

- Assess and evaluate compliance and performance of ESG projects.

Point In Time Count Committee Responsibilities

- Plan for and conduct, annually, a point in time count of persons who are homeless within the geographic area that meet the following:

  - ✓ Persons who are homeless and living in a place not designed or ordinarily used as a regular sleeping accommodation for humans will be counted as unsheltered.

  - ✓ Persons living in emergency shelters and transitional housing projects will be counted as sheltered persons who are homeless using the HMIS.

- Review point in time count surveys and data collection tools.

- Support the logistics of the Point In Time count and annual Housing Inventory Count (HIC).

- Conduct an annual gaps analysis of the homeless needs and services available within the geographic area.

- Review data collected to assess accuracy and approve for publication on ADOH website and submission to HUD.

- Other requirements established by HUD by notice.

Coordinated Entry/Case Conferencing Committee Responsibilities

- Review local COC policies and procedures.

- Ensure consistency and share best practices among the local COCs in the implementation of Coordinated Entry/Case Conferencing.

- Ensure alignment with HUD Coordinated Entry/Case Conferencing.

Other Committees to be included as needed.

5. ADOH ROLE AND RESPONSIBILITIES

The Arizona Department of Housing (ADOH) is the lead support agency and the collaborative applicant, as well as the HMIS Lead Agency, providing backup staff to the various committees and work groups of the AZBOSCOC and performing necessary functions such as business and operations management for the AZBOSCOC, HMIS administration, performance monitoring, engagement and education of stakeholders, and submission of the funding applications.

Responsibilities

- Fiscal agent for the AZBOSCOC and performing financial management responsibilities as required by the HEARTH Act.

- Staffing of committees when necessary.

- Providing call-in number access for committee meetings.

- Production of planning materials.

- Coordinate needs/gaps assessments.

- Collect and report performance data.

- Monitor program performance.

- Coordinate resources, integrate activities and facilitate collaboration.

- Prepare the collaborative application for COC funds. This includes but is not limited to the following:

  - ✓ Adherence to the HUD published NOFA for the Continuum of Care each year.

  - ✓ Registration on e-snaps including the completion and submission of the Grant Inventory Worksheet (GIW).

  - ✓ Preparation of the Consolidated COC including project priority list.

- Apply for planning grants.

- Build awareness of COC related issues.

- Recruit stakeholders.

- Manage the HMIS System as the Lead Agency for AZBOSCOC.

6. HOMELESS MANAGEMENT INFORMATION SYSTEMS (HMIS)

ADOH is the Lead Agency for the Balance of State HMIS system. ADOH will work with the contracted HMIS software provider and the HMIS Committee to ensure all HMIS activities are carried out in accordance with the HEARTH Act. All participating agencies within the AZBOSCOC

must comply with HMIS requirements for COC funding - VASSVF (Veterans Supportive Services for Veteran Families), PATH (Projects for Assistance in Transition from Homelessness), RHY (Runaway and Homeless Youth), as well as all state homeless service funds. HMIS policies and procedures will be reviewed and updated on an annual basis in accordance with HMIS data standards and the HEARTH Act.

7. **REPORTING**

- Proceedings of all committee meetings are documented in minutes.

- Minutes of all meetings are circulated and approved in a timely manner.

- Approved minutes will be posted on the ADOH website.

8. **CONFLICTS OF INTEREST**

Each member of the Governance Advisory Board will disclose their relationship to any agenda item requiring a vote during discussion of the agenda item. No member of the Advisory Board may vote upon any matter that financially benefits them or the organization that the member represents. This includes all decisions with respect to funding, awarding contracts and implementing corrective actions.

9. **SPOKESPERSON**

The Chair of the Advisory Board shall be the spokesperson and point of contact for the AZBOSCOC.

HMIS Policies and Procedures

1110 West Washington Street, #280 | Phoenix, AZ 85007
Telephone: (602) 771-1000 | Facsimile: (602) 771-1002 | TTY: (602) 771-1001

Table of Contents

Vision Statement

The vision of Arizona Balance of State Continuum of Care Homeless Management Information System (AZBOSCOC HMIS) is to operate a user-friendly data collection system that produces timely, accurate, and complete information for participants to use, ensuring the effective delivery of housing and services to end homelessness in Arizona.

Introduction

In the late 1990's, Congress mandated that States collect data regarding homeless populations as a condition to receive federal funds to serve that population. The US Department of Housing and Urban Development (HUD) then mandated that each Continuum of Care (COC) for the Homeless must implement an HMIS, but they did not require any particular application. The AZBOSCOC Homeless Management Information System (AZBOSCOC HMIS) was instituted as a result of that mandate. AZBOSCOC HMIS' goal is to support the AZBOSCOC partner agencies in their mission of ending homelessness, by supplying them with the tools to meet the reporting requirements for their projects.

The AZBOSCOC HMIS is a client information database that provides a standardized assessment of client needs and records the use of housing and services used to meet those needs. The fundamental goal of the AZBOSCOC HMIS is to use the data to determine the utilization of services of participating agencies, identify gaps in the local service continuum, and develop outcome measurements according to the HUD/AZBOSCOC HMIS standards. The AZBOSCOC HMIS can identify patterns in the utilization of assistance, as well as document the effectiveness of services for clients.

All this will be accomplished through data analysis of the actual experiences of persons experiencing homelessness, as well as the service providers who assist them in shelters and homeless assistance projects throughout the state. This data may also be analyzed to provide unduplicated counts and anonymous aggregate data to policy makers, service providers, advocates, researchers, and other representatives. Statewide reporting is based on aggregate, non-identifying data; therefore, such data may be shared by Arizona Department of Housing (ADOH) with the public without specific permission.

The AZBOSCOC HMIS uses a web-based software application created and supported by Bowman Systems, a Mediware Company, called ServicePoint. The information contained in AZBOSCOC HMIS resides on a central server to facilitate data collection by homeless service organizations across the state. Access to the AZBOSCOC HMIS is limited to agencies that have entered into a partnership agreement with ADOH as the HMIS lead agency. Those agencies and their authorized staff members who have met the necessary training requirements and have signed the necessary privacy, security, and licensing documentation as listed in this manual will have full access to the database. As the guardians entrusted with personal data, agencies have both a moral and a legal obligation to ensure

that data is being collected, accessed, and used appropriately. All agencies must be vigilant to maintain client confidentiality, treating the personal data of Arizona's most vulnerable populations with the utmost respect.

Every project that receives federal homeless project funds from HUD is required to enter data on persons served with those funds into the AZBOSCOC HMIS. Some projects funded through the U.S. Veterans Administration and the U.S. Department of Health and Human Services may be required to enter data into the AZBOSCOC HMIS, as well. In addition, the AZBOSCOC encourages agencies that do not receive federal funds to participate in the AZBOSCOC HMIS so that service provision in the AZBOSCOC is coordinated and that data represents the broader network of service provision in the continuum.

The HUD HMIS Data Standards also require organizations to comply with COC Program Interim Rule 24 CFR578 and any federal, state, and local laws that require additional confidentiality protections.

As these data standards are subject to change, all providers are responsible for monitoring for updates and being in constant compliance with all data standards.

AZBOSCOC HMIS

The Arizona Department of Housing (ADOH) is the lead agency for AZBOSCOC HMIS implementation in the Arizona Balance of State Continuum of Care.

- AZ Balance of State Continuum of Care Code (thirteen (13) counties) - AZ-500

To ensure the integrity and security of sensitive client confidential information and other data maintained in the database, ADOH requires all participating agencies sign the AZBOSCOC HMIS Partnership Agreement (Attachment A). All end users must sign a Code of Ethics Agreement (Attachment B) prior to being given access to the AZBOSCOC HMIS. All clients must sign a Release of Information Form (Attachment C) prior to entry of the individual's data into the system.

Terminology

Many of the terms used in the AZBOSCOC HMIS Policies and Procedures Manual may be new to many readers. It is important to understand the terms used to better understand the roles, responsibilities and liabilities of the AZBOSCOC HMIS.

Advanced Reporting Tool (ART): Bowman Systems partners with S.A.P. Business Objects to give users access to a wide variety of reports. It will be replaced within the next year with QLIK.

Agency Administrator: This person is responsible for HMIS administration at the participating agency level and is the lead agency contact with ADOH.

Annual Homeless Assessment Report (AHAR): The annual report to the U.S. Congress on the extent and nature of homelessness in America.

Annual Performance Report (APR): The HUD-required report used to track progress and accomplishments of COC-funded projects.

Arizona Balance of State Continuum of Care (AZBOSCOC): The HUD recognized Continuum of Care comprised of homeless projects in thirteen counties within the State of Arizona. The counties covered by the AZBOSCOC are: Apache, Cochise, Coconino, Gila, Graham, Greenlee, La Paz, Mohave, Navajo, Pinal, Santa Cruz, Yavapai and Yuma.

Arizona Balance of State Continuum of Care Homeless Management Information System (AZBOSCOC HMIS): The database used collectively by partnering agencies within the Arizona Balance of State Continuum of Care to track coordinated assessment, service needs, progress, and accomplishments of clients.

Arizona Department of Housing (ADOH): The lead agency for the AZBOSCOC HMIS implementation and Collaborative Applicant for the AZBOSCOC.

Authentication: The process of identifying a user to grant access to a system or resource based on a username and password.

Bowman Systems: Often referred to just as "Bowman", this is the company/vendor who wrote the AZBOSCOC HMIS software, ServicePoint. ADOH maintains a yearly contract with Bowman Systems for maintenance and support.

Client: An individual who has inquired about, is receiving, or has received services from a participating project about whom a participating AZBOSCOC HMIS project collects or maintains personally-identifiable information.

Code of Ethics Agreement: An agreement between participating agency users and ADOH that allows access to AZBOSCOC HMIS.

Continuum of Care (COC) Project: Project receiving funding from HUD through the competitive COC application process. These projects are identified in the AZBOSCOC HMIS as COC projects.

Executive Director: A person who serves as the top executive official of a participating agency. This person may have a title of chief executive officer or president, etc. This is the person that signs the Partnership Agreement

Housing Inventory Count (HIC): The inventory of beds available for persons experiencing homelessness, including HMIS, seasonal, and overflow beds for individuals and households.

Participating Agency: Any agency/project that enters client-level information into AZBOSCOC HMIS.

Point-In-Time (PIT): The annual **count** of sheltered and unsheltered persons experiencing homelessness on a single night in January. HUD requires that Continuums of Care conduct an annual count of homeless persons who are sheltered in emergency shelter, transitional housing, and Safe Havens on a single night

Release of Information (ROI): A statement signed by the client <u>authorizing</u> or <u>denying</u> the participating AZBOSCOC agency/project to share their personal information, and information regarding their unique situation with other participating agencies.

ServicePoint: A software package written by Bowman Systems, which tracks data about people in housing crisis to determine individual needs, provide a referral system and create aggregate data for reporting and planning. The software is web-based.

System Administrator: The staff contracted by ADOH as BOSCOC System Administrator for the AZBOSCOC HMIS. Community Information and Referral is the current System Administrator for AZBOSCOC HMIS.

TAY-VI-SPDAT: Vulnerability Index and Service Prioritization Decision Assistance Tool (VI-SPDAT) designed for transitional aged youth twenty-four (24) years or younger to predict youth most vulnerable to experience long-term homelessness.

User: An individual who has been granted access and uses AZBOSCOC HMIS. Users are the main guardians against violating a person's confidentiality.

VI-SPDAT: The Vulnerability Index and Service Prioritization Decision Assistance Tool is an assessment tool distributed by OrgCode Consulting Inc. designed to help prioritize housing services for individuals experiencing homelessness based on the acuity of their needs and personal situation.

VI-F-SPDAT: The VI-SPDAT adapted for assessment of families experiencing homeless

Roles and Responsibilities

Arizona Department of Housing (ADOH)

ADOH is the lead agency for the implementation and maintenance of the statewide AZBOSCOC HMIS.

AZBOSCOC HMIS Management

Policy: ADOH is responsible for the organization and management of the AZBOSCOC HMIS. ADOH is responsible for all system-wide policies, procedures, communication, and coordination of the AZBOSCOC HMIS. ADOH will act as liaisons between agencies and System Administrator.

Procedure: ADOH and the contracted System Administrator will follow protocols established by Bowman Systems, LLC, in regard to unauthorized access, as established on page nine (9) of the Bowman Systems Securing Client Data Policy Manual. A member of ADOH and/or System Administrator will notify Bowman Systems of any software issues within twelve (12) hours of being made aware of the issue and an investigation at the state level

has taken place. All information received from Bowman Systems pertaining to use, access, reporting, or live site system will be disseminated to Executive Directors or his/her designee within three (3) business days of receipt. No user, Executive Director, or agency may contact Bowman System directly, without the express written consent of ADOH. ADOH's contracted System Administrators may contact Bowman System to coordinate system updates, software issues, and other system administration functions.

AZBOSCOC HMIS Documentation

Included documents are: AZBOSCOC HMIS Policies and Procedures Manual, the AZBOSCOC Data Quality Plan, the AZBOSCOC HMIS Code of Ethics Agreement, the AZBOSCOC HMIS Partnership Agreement, the Agency Profile Form, the Release of Information Form, and all other related forms.

Policy: ADOH will provide the necessary manuals and forms for all users on the Arizona Department of Housing website: www.azhousing.gov. These documents will be kept up-to-date and in compliance with all HUD policies and requirements. Agency Administrators will be responsible for downloading and distributing to end users within their agency as well as the HUD Data Standards Manual available on the HUD Exchange website https://www.hudexchange.info/.

Procedure: ADOH will update the AZBOSCOC HMIS Policies and Procedures Manual, the Code of Ethics Agreement, the Partnership Agreement, the Agency Profile Form and related forms annually. Agencies must submit an updated Agency Profile Form **when changes occur in the programs that necessitate updating**. By the beginning of each calendar year, the documents will be reviewed and updated. In the event HUD issues interim changes to the requirements, affected policies and procedures and any related documentation will be reviewed and updated at that time. All changes will be communicated to participating agencies through the HMIS system (i.e. "System News") and electronically through the end user e-mail distribution list. All documents will be available for download at www.azhousing.gov, and the System Administrator website www.211Arizona.org.

Security Management

Policy: ADOH and System Administrator will be responsible for the continuous monitoring of security and user access.

Procedure: Refer to Bowman Systems Securing Client Data Policy Manual (Attachment D).

Training

Policy: The contracted System Administrator will provide timely training for all new users, annual refresher training for current users, and ART reporting training in the most efficient and effective way possible.

Procedure: ADOH and/or System Administrator will notify participating agencies and users of upcoming trainings through the System News available in ServicePoint and/or electronically. Agencies will be given no less than thirty (30) days advance notification of such trainings on the calendar. System Administrator will conduct all new user training, specialized training relevant to user position, and report training. At no time will a participating agency contact Bowman directly for training. The System Administrator will send training confirmation responses to registered users within three (3) business days of online registration.

Agency Management

Policy: Upon notification from ADOH that appropriate documentation has been received by ADOH, the System Administrator will set-up and terminate agencies, projects and users, as needed.

Procedure: Agencies will notify ADOH of new projects and new users electronically or by telephone by contacting Glennifer Mosher at Glennifer.Mosher@azhousing.gov or (602) 771-1017, or Karia Basta at karia.basta@azhousing.gov or (602) 771-1085.

User Management

Policy: ADOH and/or the System Administrator will give appropriate levels of access to the system based on user's position in the participating agency, configuration of projects, and designation by the Executive Director.

Procedure: ADOH in consultation with the participating agency Executive Director or his/her designee will assign appropriate user levels when adding a new user. ADOH will always assign the most restrictive access to users while still allowing efficient job performance to protect client confidentiality or privacy.

System Availability

Policy: Bowman Systems will provide constant availability of AZBOSCOC HMIS and will inform users in advance of any planned interruption in service.

Procedure: Scheduled upgrades and maintenance will occur on Friday nights after 9:00 p.m. MST. The System Administrator will inform users of the exact date and time at least five (5)

business days prior to scheduled upgrade via ServicePoint System News and direct e-mail to all end users on record. In the event of an unscheduled unavailability, the System Administrator will contact the end users via email and inform them of the cause and the anticipated duration of the interruption of service. Users will be notified as quickly as possible of system unavailability, but in no case more than twenty-four (24) hours after service interruption.

Participating Agency

A participating agency is one that enters client-level data into the AZBOSCOC HMIS.

Security Management

Policy: Agencies are responsible for ensuring all hardware and software used to access and/or store AZBOSCOC HMIS client-level data is in a secure location where access is restricted to authorized staff.

Procedure: Agencies may be monitored for security by ADOH through on-site compliance visits. Failure to comply will result in deactivation of all agency user accounts and the agency may be non-compliant with HUD and/or other funding regulations.

Agencies MUST have:
- A secure broadband Internet connection.
- Wi-Fi is acceptable, **if** the connection is protected by a network security code.

All Workstations at the participating agency that access the AZBOSCOC HMIS **must** have:
- Memory minimums:
  - ✓ If Win7 - 2 Gig minimum; 4 Gig recommended.
  - ✓ If Vista - 2 Gig minimum.

- Monitor:
  - ✓ Screen Display - 1024 by 768 (XGA) or higher (1280 by 768 strongly advised).

- Processor:
  - ✓ A Dual-Core processor.

- Browser:
  - ✓ Firefox is recommended.
  - ✓ Chrome is an alternate.
  - ✓ Internet Explorer is an alternate.

- Password Protected Workstation:
    - ✓ All workstations **must** be manually locked by the user if a licensed user leaves a workstation when ServicePoint is active. The system will automatically lock after fifteen (15) minutes of inactivity.

- Current and Active Security:
    - ✓ Real-time antivirus scanning.
    - ✓ Manual virus scanning.
    - ✓ Automatic virus removal.
    - ✓ USB virus scanning.
    - ✓ Anti-spyware.
    - ✓ A firewall.
    - ✓ Anti-phishing.
    - ✓ Anti-spam.

Records Management

Policy: The participating agency must maintain appropriate documentation of any client Release of Information records obtained in a secure location for a period of five (5) years after the last date of client service and assure their subsequent destruction by shredding. In addition, agencies must keep Agency Profile Forms, Agency Partnership Agreements, grievance documentation, and all other HMIS related documentation in a secure location for a period of five (5) years.

Procedure: Records must be made available to the client, upon written request, within fourteen (14) business days. Compliance monitoring is completed by ADOH, as requested by funders or required by regulation. Agencies will be required to show proof of compliance with the above policy at time of compliance monitoring. Failure to comply will result in deactivation of all agency user accounts and the agency may be non-compliant with HUD and/or other funding regulations.

Privacy Management

Policy: Agencies will be solely responsible for ensuring clients understand privacy. With the exception of agencies providing services solely to children and youth, all agencies must obtain a signed Release of Information form from each adult client before entering data into the AZBOSCOC HMIS. All HMIS agencies must post a Privacy Notice at all intake locations. A copy of the Privacy Notice will be made available to all clients at the client's request.

Procedure: A copy of the Privacy Notice and the current Release of Information form can be found at www.azhousing.gov. The Release of Information Form will be in effect for one (1) year from the date of signing. A new Release of Information Form must be signed annually or when a client re-enters a project for all projects except those serving solely children and youth.

Compliance monitoring is completed by ADOH, as requested by funders or required by regulation. Agencies will be required to show proof of compliance with above policy at time of compliance monitoring. Failure to comply will result in deactivation of all agency user accounts and the agency may be non-compliant with HUD and/or other funding regulations.

Data Sharing

Policy: Data sharing among participating AZBOSCOC HMIS agencies happens when a client agrees to have their information shared.

Procedure: All projects, with exception of HOPWA and RHY, will have the opportunity to share data for client-level data. Data sharing is solely dependent on the client. No client information is shared in AZBOSCOC HMIS until the participating agency enters the ROI stating that "Yes" the client agrees to share their information.

Executive Director

The Executive Director or his/her designee is responsible for ensuring their agency and all licensed users within their agency abide by all COC established regulations, standards, policies, and procedures in regards to the AZBOSCOC HMIS and clients' rights.

Documentation

Policy: Before any agency user is given access to the AZBOSCOC HMIS, the Executive Director, or his/her designee, must complete and submit the necessary original documentation to ADOH.

Procedure: The Executive Director or his/her designee **must read, understand, and sign** the AZBOSCOC HMIS Partnership Agreement. The Agency Profile should be reviewed annually and updated when a change occurs.

In addition, the Executive Director must comply with applicable funding agreement requirements regarding the AZBOSCOC HMIS participation. Original documents should be returned to ADOH by U.S. Postal Service at:

Arizona Department of Housing
Attn: Glennifer Mosher
1110 West Washington Street, #280
Phoenix, AZ 85007

Failure to comply will result in deactivation of all agency user accounts and the agency may be non-compliant with HUD and/or other funding regulations.

Ultimately Responsible

Policy: The Executive Director or his/her designee is the person ultimately responsible for compliance with all policies and procedures in this manual; which includes but is not limited to: knowledge and understanding of client rights, grievance procedures, data sharing, agencies security, and all actions and work conducted by licensed users in their agency, including those no longer employed at their agency.

Procedure: The Executive Director must verify and sign all reports or information distributed by their agency for submission or publications. The Executive Director or his/her designee must notify ADOH within twenty-four (24) hours if a user should be removed from the AZBOSCOC HMIS by emailing Glennifer.Mosher@azhousing.gov or calling (602) 771-1017.

The Executive Director or his/her designee must complete the Annual Progress Report and submit to ADOH annually or upon request. The Executive Director must verify and sign all client requests for information or grievances prior to the release of information to the client and adhere to any additional requirements that may be deemed necessary by the funder or the COC. The Executive Director is responsible for ensuring that all HMIS users comply with the Code of Ethics agreement.

Agencies with users who fail to comply with the Code of Ethics agreement may be suspended from the AZBOSCOC HMIS. Failure to comply may result in deactivation of all agency user accounts and the agency may be non-compliant with HUD and/or other funding regulations.

Agency Administrator

An Agency Administrator is the liaison between ADOH/System Administrator and all other agency users. Agency Administrators will be given the role of "Agency Administrator" in the AZBOSCOC HMIS.

All Agency Administrators must have an e-mail address that is valid and up-to-date and act as the single point of communication between ADOH/System Administrator and all other agency users.

System Management

Policy: Agency Administrators will assist, as needed, the System Administrator in report development and testing custom reports requested by the agency. Agency Administrators will also be responsible for disseminating all information to users within their agency.

Procedure: Agency Administrators will be made aware via e-mail from the System Administrator of all upcoming system and reporting changes. Agency Administrators are required to test and comment on all custom reports requested by the agency to the AZBOSCOC HMIS Help Desk at HMISsupport@CIR.org.

If a response from the Agency Administrator is needed, ADOH or the System Administrator will provide a deadline date for response, which will be no less than five (5) business days and no more than twenty (20) business days. The System Administrator will make the Agency Administrators aware when the final changes are implemented in the AZBOSCOC HMIS or ART reporting software. **Agency Administrators will disseminate system and reporting changes to all other users within their agency within three (3) business days of final change.**

Agency Management

Policy: The Agency Administrator(s) will be the sole user(s) able and responsible for updating, correcting and maintaining the provider information in the AZBOSCOC HMIS.

Procedure: Agency Administrators will have the ability, in the AZBOSCOC HMIS, to change and update information regarding their agency and all projects for their agency. Agency Administrators will verify this information quarterly and make changes as necessary. Failure to comply by maintaining correct agency and project information in the AZBOSCOC HMIS may result in suspension of all agency licenses until corrections are made.

Report Management

Policy: Agency Administrators are responsible for supplying the Executive Director or his/her designee with all required reports and/or information for verification and signature in a timely manner prior to submission.

Procedure: Agency Administrators will have knowledge and understanding of reports and due dates for submission or publication and the appropriate person/agency for submission.

Training

Policy: Agency Administrators have been selected by the Executive Director or his/her designee as the staff member with the skills beyond that of a basic user. Agency Administrators will be required to attend a separate training at least one (1) time per year (twelve (12) months) or as needed/requested by ADOH.

Procedure: One (1) hour trainings will be scheduled throughout the calendar year by the System Administrator for Agency Administrators. The System Administrator may select topics in consultation with ADOH and/or based on evaluation of the AZBOSCOC HMIS FAQs on the Help Desk. Users are responsible for checking dates, times and class agendas on the System News in ServicePoint. Failure to comply with continuing education of the AZBOSCOC HMIS may result in suspension of the user's Agency Administrator status until requirements have been fulfilled.

User

A licensed AZBOSCOC HMIS user is responsible for ensuring their agency's client-level data is entered correctly and complies with all client rights, confidentiality and data sharing in compliance with COC regulations, standards, policies and procedures. Users will be assigned an appropriate user role in the AZBOSCOC HMIS.

Client-Level Data

Policy: Users will not knowingly enter false or misleading information under any circumstances into AZBOSCOC HMIS regarding the agency, project, or client.

Procedure: Users will submit all reports and/or information to the Agency Administrator/Executive Director for verification prior to submission to ADOH or the System Administrator. ADOH or the System Administrator will analyze and verify all data contained in reports and/or information prior to final submission and/or publication. If issues concerning client-level data are raised, the System Administrator may conduct an audit and ask ADOH for a monitoring site visit. Failure of an agency or user to comply or proof of violation can result in deactivation of the user's license permanently.

Ethical Data Use

Policy: Data contained in the AZBOSCOC HMIS will only be used to support the delivery of homeless and housing services. Each AZBOSCOC HMIS licensed user will affirm the principles of ethical data use and client confidentiality contained in the AZBOSCOC HMIS Policies and Procedures Manual and the AZBOSCOC HMIS Code of Ethics Form.

Procedure: Users will sign an AZBOSCOC HMIS Code of Ethics Form before being given access to the AZBOSCOC HMIS. Any individual or participating agency misusing, or attempting to misuse, the AZBOSCOC HMIS will be denied access. Without limitation the failure to comply with the policies and procedures related to the AZBOSCOC HMIS, may subject the agency to discipline and termination of access to the AZBOSCOC HMIS and/or termination of other ADOH contracts. Other funders will be notified by ADOH of failure to comply.

Data Sharing

Policy: At no time shall a licensed user alter, change, or delete other agency's data when participating in data sharing.

Procedure: If at any time, client data is in question/conflicting, the AZBOSCOC HMIS users **must**: 1) contact his/her own Agency Administrator and explain the data in question; and 2) either contact the agency that originally entered the data to receive clarification or ask the Agency Administrator to contact the agency that originally entered the data. If a resolution or conclusion cannot be reached between the two (2) users, the Executive Directors or designees of both agencies must come to a resolution regarding correct data entry. At any time, ADOH or the System Administrator can be requested, in written form, to analyze audit trails for investigative purposes. If a resolution cannot be determined by the Executive Directors or designees of both agencies, one will be determined by ADOH.

Client Release of Information

Policy: Users are the first to safeguard client privacy through compliance with client confidentiality and data sharing policies.

Procedure: Users in all agencies with the exception of those that provide services to Run-Away and Homeless Youth must obtain a signed Client Acknowledgement Form for each client prior to entering data into AZBOSCOC HMIS. This can be a release or denial of sharing. If a client denies sharing, the user **must** contact ADOH or System Administrator prior to entering client-level data into the AZBOSCOC HMIS. The Client Acknowledgement Form and the Release of Information Form are in effect for one (1) year from the date of signing. Users **must** verify that the Release of Information entered into the AZBOSCOC HMIS has not expired for the project prior to entering client-level data into the AZBOSCOC HMIS or updating information in the AZBOSCOC HMIS. If the Client Acknowledgement and/or Release of Information has expired, the user **must** obtain a new release prior to updating records. Signed Release of Information forms **must** be secure and retained for five (5) years from the date of the last service for the client.

Initial Training

Policy: All new users must have training with the System Administrator before entering data into HMIS. The System Administrator and agency requesting new user access will determine training date(s) within forty-eight (48) hours of user request for access to the system. Training must be completed within thirty (30) days of requesting HMIS user status.

Procedure: System Administrator will conduct trainings each month of the calendar year, except December, for new users. Users must attend at least one (1) training prior to completing assigned tasks for course completion. If the user is unable to attend, a twenty-four (24) hour notice **must** be given to System Administrator. The System Administrator shall provide at least thirty (30) days advance notice of training opportunities. In some cases, shorter notice may be given in consultation with ADOH.

Continued Education Training

Policy: Users must attend at least one (1) AZBOSCOC HMIS Refresher Training course every year (twelve (12) months) to have the continuing skill set for data collection and reporting.

Procedure: ADOH and System Administrator will schedule training options throughout the year and publish information on the System News, as well as send notices directly to users. System Administrator shall provide at least thirty (30) days advance notice of training opportunities. In some cases, shorter notice may be given with consultation with ADOH.

Data Standards

Policy: Users must enter all data into the AZBOSCOC HMIS in accordance with the current HUD HMIS Data Standards and the ADOH Data Quality Policy and Procedures.

Procedure: Users must review and understand the most current HUD HMIS Data Standards and the HUD HMIS Data Standards: HMIS Data Dictionary available at https://www.hudexchange.info/. Users must review and understand the most current ADOH Data Quality Policies and Procedures available on the ADOH website at www.housing.az.gov. Failure to comply with these standards will result in the user's license being suspended by ADOH until further investigation or training can take place.

Clients

AZBOSCOC HMIS is a vehicle for information to be passed from agency to agency regarding client information, services, and referrals. The AZBOSCOC HMIS is geared to save clients time in re-telling

their "story" and providing documentation. At no time should a client's rights, confidentiality or requests be violated.

Denial of Service

Policy: No client shall be denied a service for failure to release information for data sharing purposes or refusal to answer informational questions not required for service eligibility screening.

Procedure: Prior to collecting client-identifying information by the agency, clients **must** first sign the Release of Information form, acknowledging their request to share or deny sharing of information. If the client is returning to the HMIS system after an absence, client data must be reviewed and updated.

Access to Data

Policy: Clients may have access to their data at any time and can ask for detailed explanation of the information given to them.

Procedure: Clients may request a printed report of their data in the AZBOSCOC HMIS from an agency. Requests for data must be made in writing. Agencies will **only** print and distribute information collected by their agency and not all the client's data entered by other agencies and stored in the AZBOSCOC HMIS. Agencies must comply with client's request within fourteen (14) business days. Clients can ask for and receive a verbal or written explanation of the report given to them by the agency within seven (7) business days of receipt. Clients may request, in writing and including a self-addressed envelope, a printed report from ADOH containing all their data in the AZBOSCOC HMIS. ADOH will have thirty (30) days to respond to such requests. Clients can ask for and receive a verbal or written explanation of the report given to them by ADOH within seven (7) business days of receipt.

Changing Information

Policy: Clients may request that agencies update incomplete and/or incorrect data. However, if an agency believes the request will result in inaccurate data, the agency may deny the request.

Procedure: If the agency chooses not to update the client's information, they must supplement their decision with additional information within the client notes section of the AZBOSCOC HMIS client record within seven (7) business days of request. Agencies **must** give a written explanation of the decision, which will be copied to the client's file within five (5) business days of decision. When an agency denies a client's request for updating

their information, agencies must have a written explanation for refusal in client file within five (5) business days of denial.

Denial of Access

Policy: Agencies and ADOH reserve the right to deny a client's request to release his/her information if the information is being complied in reasonable anticipation of litigation or comparable proceedings, contains personal information about another individual not related to the client and/or by disclosure would possibly endanger the life or physical safety of any individual.

Educating Clients of Privacy Rights

Policy: The client intake worker, user, or case worker will work with the clients to understand their privacy rights, benefits of sharing data and what their data is used for once entered into the AZBOSCOC HMIS.

Procedure: The Executive Director or his/her designee will ensure that a "Privacy Notice" is posted in an area that is clearly visible to the client. The client must be informed of his/her rights under the privacy policy and should receive a copy of the policy, if requested. The client intake worker, user, and case worker will be knowledgeable regarding data sharing policies, release of information policies, and how to enter client-level data at the right confidentiality level in the AZBOSCOC HMIS. ADOH is not liable for client-level data that has been entered into the AZBOSCOC HMIS by a user in which the client's right to privacy was violated.

COMMUNICATION

From ADOH and System Administrator

Policy: ADOH is responsible for relevant and timely communication with each participating agency, regarding all aspects of the AZBOSCOC HMIS, reporting and data standards. All users **must** provide contact information to receive HMIS communication.

Procedure: Neither ADOH nor the System Administrator is responsible for a participating agency's loss of funds due to their negligence in adhering to any updated regulations regarding reporting and data collection. General system and training communications from ADOH and/or the System Administrator will be directed to all persons enrolled in ADOH's HMIS End User distribution list. General communications from ADOH and/or System Administrator will be sent through e-mail communication. Specific communications will be addressed to the person or people involved by direct e-mail

communication. For emergency situations, communications will be directed though direct e-mail and the ServicePoint News system located on the home screen of the AZBOSCOC HMIS.

All FAQs, tip sheets, documentation, policies, procedures, reporting matrix and general help will be located on the ADOH website, www.azhousing.gov, the System Administrator website, www.211Arizona.org, and the home screen of the AZBOSCOC HMIS. Agency Administrators are responsible for distributing that information to any additional users at their agency who may need to receive it, including, but not limited to, Executive Directors, client intake workers and data entry specialists.

To ADOH and/or System Administrator

Policy: Questions regarding new users, Code of Ethics agreements, Agency Profile forms, and Agency Partnership Agreements should be submitted to ADOH by email to Glennifer.Mosher@azhousing.gov. Special reports requiring the System Administrator to adapt or create a report within ServicePoint must be submitted through the ADOH. Users may submit HMIS questions to ADOH or through the HMIS help desk at HMISsupport@CIR.org.

Procedure: To receive the best customer service from the System Administrator, agencies are encouraged to utilize the help desk at HMISsupport@CIR.org or call the help desk at (602) 908-3605. The goal of ADOH and the System Administrator is to respond to all needs within one (1) business day of first contact.

AZBOSCOC HMIS Help Desk

Policy: The System Administrator maintains Help Desk support for assistance on requests including report issues, requests for system enhancements, technical support, helpful hints, training tips, documentation to download, password reset requests, etc.

Procedure: The HMIS Help Desk is available from 9:00 a.m. to 5:00 p.m., Monday through Friday, excluding CIR observed holidays. Help requests will be addressed in the order of receipt. Help requests will be addressed within twenty-four (24) business hours. All Help Desk requests received after 4:30 p.m. may be addressed the next business day. To receive the most complete response, requests asking for help to identify or resolve issues with reports **should** have the report in question attached to the request.

ACCESS

ADOH and System Administrator

Policy: ADOH and the System Administrator will have access to retrieve all data in the AZBOSCOC HMIS. ADOH and the System Administrator will not access individual client-level data for purposes other than direct client service-related activities, coordinated assessment, referral, reporting and maintenance, checking for data quality and responding to Help Desk requests.

Procedure: ADOH will be responsible for ensuring that no individual client data is retrieved for purposes other than direct client service, reporting, system maintenance, performing data quality checks and responding to Help Desk requests. ADOH will oversee all reporting to HUD and the public.

All special research requests must be approved by ADOH in coordination with requesting agency. Reports necessary for funding agreements (Annual Performance Reports, Consolidated Annual Performance and Evaluation Reports) may be run at the request of the agency or the request of a federal or state partnering agency. Reports containing system-wide information or county/regional information must receive prior approval by ADOH before System Administrator runs and/or provides the report.

Agency Administrators

Policy: Agency Administrators will have the ability to access client-level data in all of their agency projects.

Procedure: Participating agency's designated Agency Administrator will have the ability to locate, change, add or remove client-level data from their agency's projects. The Agency Administrator will be able to generate reports for all of their agency's projects. The Agency Administrator will have access to the Annual Homeless Assessment Report. The Agency Administrator will have access to the Provider Information Profile section of the AZBOSCOC HMIS and will have the ability to change information located within their agency's projects.

User Access

Policy: AZBOSCOC HMIS System Administrator will assign the most restrictive security settings to all other users not assigned as an Agency Administrator by the Executive Director.

Procedure: AZBOSCOC HMIS System Administrator, in consultation with the agency Executive Director, will assign appropriate user levels when adding or changing user access. Users will not have the ability to delete or change another project's client-level data. Users will not always have the ability to generate reports for any and all agency projects based on types of user roles. AZBOSCOC HMIS System Administrator will always assign the most restrictive access which allows efficient job performance in the interest of client security.

Public Access

Policy: ADOH, under the direction of the ADOH Legal Department, will address all requests for data from entities other than participating AZBOSCOC HMIS. The public is not given access at any time.

Procedure: The AZBOSCOC HMIS can enter into data sharing agreement with outside organizations under contract with ADOH for:

- Research
- Data Matching
- Evaluation of Services/Planning.

Contracts must include a Data Sharing Agreement. Data Sharing Agreements will require that all parties certify that they will adhere to the strict standards of protecting client-level data employed by the AZBOSCOC HMIS. All AZBOSCOC HMIS-participating agencies will be notified in writing if and when ADOH is considering a contract with an outside organization at least thirty (30) days prior to execution of the contract. All public requests for information must be made in writing to ADOH. ADOH will issue periodic public reports and aggregate data about homelessness and housing issues with no previous notice to participating AZBOSCOC HMIS agencies. Such public reports will not reveal identifying information about clients.

SECURITY

Bowman Systems

System Security

Policy: ServicePoint is supported by the most powerful system security measures available. Using 128-bit encryption, user authentication, and user access levels, ServicePoint ensures that data is protected from intrusion.

Procedure: Bowman Systems' employees, who have access to client-level data, are subject to a national background check, training on confidentiality requirements and must sign a

confidentiality statement as part of their employee agreement. The system function logs the time and type of activity, as well as the name of the user who viewed, added, edited, or deleted the information.

Servers are located in complexes with:
- Twenty- four (24) hour security personnel.
- Twenty- four (24) hour video surveillance.
- Dedicated and secured Data Center.
- Locked down twenty- four (24) hours per day.
- Only accessible by management-controlled key.
- No access is permitted to cleaning staff.
- State-of-the-art HVAC and fire suppression system.

Data Security

Policy: Bowman Systems ensures availability of customer data in the event of a system failure or malicious access by creating and storing redundant records. All data going across the Internet to the user's Web browser uses AES-256 encryption in conjunction with RSA 2048-bit key lengths.

Procedure: The traffic that flows between the server and the user's workstation is encrypted using the SSL certificate installed on ADOH's dedicated server. Database tape backups are performed nightly. Tape backups are maintained in secure offsite storage. Seven (7) days' backup history is stored on instantly accessible Raid 10 storage. One (1) month's backup history stored offsite. Users have twenty-four/seven (24/7) access to Bowman Systems emergency line to provide assistance related to outages or downtime.

Unauthorized Access

Policy: If an unauthorized entity were to gain access to the AZBOSCOC HMIS and client data, or if there were suspicion of probable access, the System Administrator and Bowman Systems will take immediate action to protect the security of the system. Bowman Systems will adhere to the "Securing Client Data" manual (Attachment D).

Procedure: The system would be examined to determine the presence of system or data corruption. If the system has been compromised, the system would be taken offline. Using the previous night's backup, a restored copy of the system data would be loaded onto another server and the system brought back online with the back-up copy. Comparing the back-up database to the database taken offline, an investigation would be launched to determine the extent of the unauthorized activity/corruption and the corrective action needed. Upon completion of the investigation, findings would be reported to ADOH

and options would be discussed. Upon ADOH's approval, corrective action would be initiated. Corrective action could include all or part of the following:

- The original hard drive would be completely erased and rebuilt, including a new operating system, SSL Certificate, applications and the back-up database.
- If applicable and feasible, lost data from the original database would be restored.

If Bowman Systems or its employees are determined to be at fault for unauthorized access, ADOH may terminate the ServicePoint License and Service Agreement and pursue legal remedies.

Licensed Users

A licensed user is a person who has signed and submitted an AZBOSCOC HMIS Code of Ethics Agreement and it is still in effect for the current year. When ADOH is not notified of their termination from the agency within twenty-four (24) hours of termination, neither Bowman Systems, ADOH, nor the System Administrator will be liable for actions of a former agency employee with an active license. The Agency shall be liable and ADOH may terminate access to the AZBOSCOC HMIS and/or terminate ADOH contracts if it determines that the Agency acted carelessly in managing their licensed users.

User Access

Policy: The System Administrator will provide unique usernames and initial passwords to each licensed user. Usernames and passwords may not be exchanged or shared with other users.

Procedure: The System Administrator will provide directly to the user a unique username and initial password upon completion of training requirements as stated in this manual. ADOH will have access to the list of usernames. ADOH will perform an annual user audit for invoicing and licensing proposes. The sharing of usernames will be considered a breach of the AZBOSCOC HMIS User Agreement and the Partnership Agreement. Exchanging usernames seriously compromises security and accountability to clients. If a breach occurs, it may subject the agency to discipline and termination of access to the AZBOSCOC HMIS and/or termination of other ADOH contracts.

Passwords

Policy: Users will have access to the AZBOSCOC HMIS via a username and password. Passwords will expire every forty-five (45) days. Passwords are case sensitive and must consist of at least eight (8) characters and include at least two (2) digits. Users must keep passwords confidential. Only the user knows his/her password. ADOH and the System Administrators can only reset passwords. They cannot tell the user their password.

Procedure: On the 45th day or when the user next logs in, the system will require the user to create a new password and enter it twice before accessing the database.

The sharing of passwords will be considered a breach of the AZBOSCOC HMIS User Agreement. If a breach occurs, ADOH may subject the agency to discipline and termination of access to the AZBOSCOC HMIS and/or termination of ADOH contracts.

Password Recovery

Policy: Agency Administrators may reset passwords. If the Agency Administrator is unavailable or otherwise unable to reset a password for an end user, ADOH, or the System Administrator will reset a user's password in the event the password is forgotten.

Procedure: Users must request a password reset by submitting a request to the AZBOSCOC HMIS Help Desk at HMISsupport@cir.org or by calling the Help Desk at (602) 908-3605 or contacting ADOH at Glennifer.Mosher@azhousing.gov or (602) 771-1017.

ADOH or the System Administrator will verify the user is active in the system prior to resetting a password. The reset information will be sent back to the user via the Help Desk or ADOH. The user must enter the password given. The system will only accept this password one time. The system will require the user to create a new password and enter it twice before accessing the database.

Location of Data Access

Remote Access

Policy: Users will ensure the confidentiality of client data, following all security policies in the AZBOSCOC HMIS Policies and Procedures Manual and adhering to the standards of ethical data use, regardless of the location of the connecting computer. The Executive Director has the responsibility to assure the user is in compliance with this and all other policies, procedures, agreements, and rules governing the AZBOSCOC HMIS.

All users that access the AZBOSCOC HMIS remotely must meet the standards detailed in the security policies and procedures and may only access it for activities directly related to their job. Users may not access the system from unsecured networks (for example: coffee shops, restaurants, libraries and other public places).

Examples of Remote Access:
- Personal laptops that were not purchased by the agency.

- Access to the AZBOSCOC HMIS on a network other than that of the agency.
- Private home desktops.

Procedure: ADOH may annually audit remote access by AZBOSCOC HMIS users. If a user is found to have accessed the AZBOSCOC HMIS through an unsecured network, the user license will be immediately suspended. ADOH may impose additional sanctions on the agency including termination of access to the AZBOSCOC HMIS and/or termination of ADOH contracts.

Agency Data

Data Retrieval

Policy: AZBOSCOC HMIS-participating agencies will have access to retrieve any individual client-level data and aggregate data for their own projects. Participating agencies will not have access to retrieve client-level or aggregate data for other participating agencies or system-wide.

Procedure: Agency Administrators using the ServicePoint Report Writer or ART will only be able to extract data from those records to which they have access based on their level of security given by ADOH and/or the System Administrator. Whenever a user attempts to access an aggregate report for an unauthorized agency, the report will show "0". Both Report Writer and ART will limit the user access and only report data from records to which the individual user has access.

Extracted Data

Policy: AZBOSCOC HMIS-participating agencies have access to retrieve any individual client-level data and aggregate data for their own projects and download the information onto a local storage vessel. Users will maintain the security of any client data extracted from the database and stored locally, including data used in custom reporting.

Procedure: Any data printed or downloaded from AZBOSCOC HMIS is protected data and should be held in secured paper or electronic files. All extracted data falls within the same confidentiality procedures as electronically-stored data. ADOH and the System Administrator are not responsible for breaches in data once removed from the AZBOSCOC HMIS. If a licensed user extracts data, the participating agency for which the licensed user works is responsible for any data breach on data extracted by the user.

Compliance Security Review

Policy: AZBOSCOC HMIS-participating agencies are subject to random or scheduled compliance monitoring checks completed by ADOH.

Procedure: All agencies will be desk-monitored at least once a year for security risks and compliance with documentation. On-site monitoring will be conducted at least once yearly for agencies under contract with ADOH. Agencies not under contract with ADOH will be monitored if they are deemed to be a high or medium security risk based on the annual desk monitoring.

AZBOSCOC HMIS DATA SHARING

Agencies are able to share client information with agencies outside of their network with appropriate client authorization. The AZBOSCOC HMIS is a vehicle through which agencies can share data outside of their own agency and network. Statewide reporting is based on aggregate, non-identifying data; therefore, aggregate, non-identifying data may be shared with the public without specific permission. These polices would be made clear to clients as part of the Release of Information form. To comply with coordinated assessment required by HUD, AZBOSCOC will share the VI-SPDAT and the VI-F-SPDAT with all AZBOSCOC participating agencies. ADOH will require that agencies attend training on the use of the VI-SPDAT and the VI-F-SPDAT.

Policy: All agencies and projects, with exception of HOPWA, domestic violence service providers, RHY, and those that fall within Federal regulations prohibiting not sharing client information, will share client-level data with other AZBOSCOC HMIS-participating agencies through the client's Release of Information form.

Procedure: The participating agency's Executive Director is responsible for ensuring that all licensed users within the agency abide by all the policies and procedures stated within all signed documents including the sharing of data. All clients must have a valid Release of Information form in their case file prior to users entering client-level data into the AZBOSCOC HMIS to indicate either approval or denial of sharing their data.

Visibility Settings

Policy: All data sharing policies will be enforced by ADOH.

Procedure: Each user's access to data will be defined by their user type, as described in the Access section of this manual. ADOH will conduct at least annual file checks for appropriate

client authorization. The System Administrator will conduct quarterly user audit reports and submit reports to ADOH.

<u>*Scanned Document Management*</u>

Policy: ADOH is responsible for organization and management of the AZBOSCOC HMIS. It is necessary to follow standardized procedures to upload documents to ensure uploaded information is useable system-wide.

Procedure: Documents uploaded to a client's record must have the naming standards of:
- Client ID#, Document Title, Date Saved
     Example: *123456, Homeless Verification, 11/20/2013*

File attachments may only be uploaded to the client profile screen under "File Attachments". Users may never remove documents of another agency and may only remove theirs when uploading an updated version. Unless otherwise noted by client denial, all file attachments will be shared by agencies sharing data.

Data Shared Information

Policy: All client information in AZBOSCOC HMIS is locked down and not shared until the agency enters the ROI and indicates whether the client gives permission or not.

Procedure: An ROI is required for each project that the client is receiving access to services. Since all clients served by a participating AZBOSCOC project is required to enter a Coordinated Entry assessment, there has to be a corresponding Coordinated Entry ROI. Then the project serving the client also requires a corresponding ROI. The client needs to sign only one Release of Information form but the agency has to enter a separate ROI for each entry into AZBOSCOC HMIS in order data to share correctly and for reports to be able to pull correct data. Agencies are responsible to make sure that the client understands the importance of sharing their data for more efficient servicing of their needs especially for Coordinated Entry.

Data Quality

The data standards established by HUD and ADOH are applied to all projects reporting client-level data in the AZBOSCOC HMIS. At no time do standards increase or decrease with the source of funding for the project. To have correct, accurate, and reliable reporting in a timely manner, all projects **must** adhere to the policies and procedures established. Please refer to the <u>Arizona Balance of State Continuum of Care Data Quality Plan</u> available on the ADOH website at:
<u>https://housing.az.gov/sites/default/files/documents/files/BOS_Data_Quality_Plan_060315.pdf</u>
and the <u>HMIS Data Standards Manual</u> and <u>HMIS Data Standards: HMIS Data Dictionary</u> available on the HUD website <u>https://www.hudexchange/info/</u> .

License Suspension and/or Replacement

Policy: At any time, ADOH reserves the right to suspend a user's license if a user is having difficulty entering client-level data and providing accurate reports. ADOH and the System Administrator can recommend and require the Executive Director to assign a different staff member or volunteer to attend training and enter client-level data.

Violation of Data Quality and Integrity

Policy: In its discretion, ADOH may hold funds or deduct points on future grant applications for agencies that violate the data quality policies and procedures.

Procedure: Such action will be conducted in accordance with the ADOH AZBOSCOC Policies and Procedures Manual.

LICENSING AND INVOICING

To carry out its responsibilities as the Lead Agency for the AZBOSCOC HMIS, ADOH has secured funding through the COC project funds. By seeking to maximize these resources, ADOH has been able to provide ServicePoint to BOS COC users free of charge and keep fees at an affordable level to partnering agencies. Agencies that receive federal funds and are required through their funding agency to participate in AZBOSCOC HMIS but do not receive funds through the AZBOSCOC may be required to pay license fees and a nominal data collection fee to help cover the costs of handling data that is analyzed and combined with AZBOSCOC HMIS data for reporting.

Annual Invoice

Policy: ADOH will send an invoice to each Executive Director of each agency or the appropriate staff at a partnering federal or state agency.

Procedure: Notices will be sent via email and/or postal service. Payments are due within thirty (30) days of receipt of invoice. Late fees may be assessed. Non-payment licenses may be suspended by ADOH. ADOH will make all project representatives aware of agencies that have had their user licenses suspended. All grant funds may be held for all components until payment is made to ADOH, if applicable.

Pro-Rated License

Policy: Executive Directors will be invoiced on a pro-rated basis for users that are licensed during the calendar year.

Procedure: ADOH will use the following formula to determine the amount that should be charged for the license:

- Total price/12 = price per month;
- Price per month x number of full months remaining in the year = price for pro-rated balance of year;
- Count the number of days left in the month;
- Price per month/number of days in month = price per day;
- Number of days left in month x price per day = price for that pro-rated month;
- Price for pro-rated month + price for pro-rated balance of year = total of user license.

Payment **must** be received by ADOH within thirty (30) days of activation. If the payment is not received, the new user license may be suspended by ADOH. ADOH reserves the right to mandate follow-up training for the new user prior to reactivation.

GRIEVANCES

From a Participating Agency or Client to ADOH or the AZBOSCOC HMIS

Policy: AZBOSCOC HMIS-participating agencies have the right to file a grievance against ADOH. Clients have the right to file a grievance against a participating agency regarding the AZBOSCOC HMIS.

Procedure: ADOH will respond within thirty (30) days to complaints from families, owners, employees and members of the public. All complaints must be submitted in writing and will be documented.

- Categories of Complaints
  - ✓ Complaints from clients: a client disagrees with an action or inaction of ADOH or System Administrator.
  - ✓ Complaints from participating agencies or other HUD-funded programs: an AZBOSCOC HMIS-participating agency, a HUD-funded program or other federal-funded program disagrees with an action or inaction of ADOH and/or System Administrator.

The complaining party will submit the complaint in writing to ADOH's Special Needs Programs Administrator within seven (7) business days of the date of occurrence. It is ADOH's objective to resolve disputes at the lowest level possible and to make every effort to avoid the most severe remedies. However, if this is not possible, ADOH will ensure that applicants and participants will receive all of the protections and rights afforded by the law and applicable regulations.

PARTICIPATION TERMINATION

Initiated by the Participating Agency

Policy: The termination of the AZBOSCOC HMIS Partnership Agreement by the participating agency will affect other contractual relationships with ADOH. In the event of termination of the AZBOSCOC HMIS Partnership Agreement, all data entered into the AZBOSCOC HMIS will remain an active part of the AZBOSCOC HMIS and the records will retain their original security settings.

Procedure: HUD-funded agencies are required to participate in the AZBOSCOC HMIS or a comparable database as a condition of their funding. For those that are terminating their contract with the AZBOSCOC HMIS, this will be addressed in the context of the larger Agency Grant Agreement by ADOH. For those participating agencies that are non-HUD-funded, the person signing the initiating AZBOSCOC HMIS Partnership Agreement will notify ADOH with a date of termination in writing. In all cases of termination of the AZBOSCOC HMIS Partnership Agreement, the System Administrator or ADOH will deactivate all users from the agency on the date of termination stated by the agency. All client-level data entered into the AZBOSCOC HMIS will remain an active part of the AZBOSCOC HMIS and the records will retain their original security settings.

Initiated by ADOH

Policy: ADOH will terminate the AZBOSCOC HMIS Partnership Agreement for non-compliance with the terms of that agreement.

Procedure: HUD-funded agencies that work with the homeless are required to participate in the AZBOSCOC HMIS. For those that are terminated, this will be addressed in the context of the larger Agency Grant Agreement by ADOH. For those participating agencies that are non-HUD-funded, ADOH will notify the person that signed the initiating AZBOSCOC HMIS Partnership Agreement or that person's successor, with a date of termination in writing. ADOH will give thirty (30) days written notice to the agency, regardless of funding source, to the attention of the person who initiated the agreement or their successor. ADOH requires any AZBOSCOC HMIS violations to be rectified before the AZBOSCOC HMIS Partnership Agreement termination is final. ADOH may also terminate the AZBOSCOC HMIS Partnership Agreement without cause upon thirty (30) days written notice to the participating agency. The termination of the AZBOSCOC HMIS Partnership Agreement may affect other contractual relationships with ADOH.

In all cases of termination of the AZBOSCOC HMIS Partnership Agreement, ADOH will notify the System Administrator to make inactive all users from the agency on the date

of termination. All client-level data entered into the AZBOSCOC HMIS will remain an active part of the AZBOSCOC HMIS, and the records will retain their original security settings.

PROJECTS IN AZBOSCOC HMIS

Adding a New Project in AZBOSCOC HMIS by Participating Agency

Policy: The Executive Director or his/her designee will notify ADOH thirty (30) days prior to implementation of a new project.

Procedure: At least thirty (30) days prior to anticipated implementation date, the Executive Director or his/her designee will submit an Agency Profile form to ADOH. Being a newly-added project in the AZBOSCOC HMIS, the following standard formula is used when creating a name within AZBOSCOC HMIS:

- Parent Agency - Project Name - Funding Source - Type of Service - COC
  - ✓ Example: *Johnson County CAP - Joe's House Step Two – COC – TH - BOS*

Changes to Existing Projects in AZBOSCOC HMIS

Policy: The Executive Director or his/her designee will notify ADOH of programmatic changes.

Procedure: The Executive Director or his/her designee will notify ADOH of any applicable programmatic changes to existing programs which may have an effect on data collection, data entry, data quality or data reporting at least forty-five (45) business days prior to the implementation date of the change. Recommendations and timelines for the changes will be returned to the participating agency no more than ten (10) business days from receipt date of request. The System Administrator will complete changes at least seven (7) business days prior to the implementation date for final approval from the participating agency.

Additional Customization

Policy: The participating agency will be solely responsible for additional database customization costs. This includes the voluntary transfer of existing grant client-level data and custom build reports beyond that of the System Administrator's scope of work.

Procedure: The Agency Administrator or Executive Director will notify ADOH of any applicable programmatic customization which may have an effect on data collection, data entry, data quality, or data reporting at least forty (40) business days prior to the implementation date of the change. Proposed customization and/or changes must be submitted in writing.

If support from Bowman Systems is necessary to make the changes, ADOH and/or the System Administrator will communicate to Bowman the needs and scope of work for the participating agency. Recommendations and timelines for the changes will be returned to the participating agency no more than ten (10) business days from receipt date of request, including a Statement of Work from Bowman, if applicable. The System Administrator will complete changes at least seven (7) business days prior to the implementation date for final approval from the participating agency. If a participating agency voluntarily transfers an existing grant to another agency, ADOH will not pay for client-level data to be transferred. The agency requesting the transfer will be liable for any fees incurred.

Acknowledgement of Receipt of the
AZBOSCOC HMIS Policies and Procedures Manual

By signing this form, you acknowledge receipt of the AZBOSCOC HMIS Policies and Procedures Manual from Arizona Department of Housing (ADOH). Your signature further certifies that you have read, understand, and will abide by the policies and procedures, as detailed in this document, as well as accept any measures taken for violation of these practices. Please note, the AZBOSCOC HMIS Policies and Procedures Manual is subject to change.

_____

Signature of Licensed User

_____   _____

Print Name Licensed User   Date

_____

Signature of Executive Director

_____   _____

Printed Name of Executive Director   Date
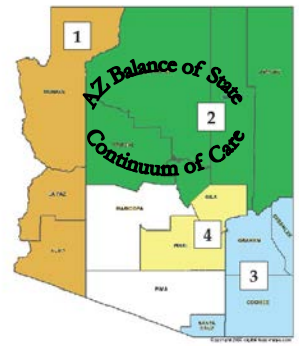
Return signed form to ADOH:
Via e-mail:
Glennifer.Mosher@azhousing.gov
Via mail:
Arizona Department of Housing
Attn: Glennifer Mosher
1110 West Washington Street, #280
Phoenix, AZ 85007

ATTACHMENT A – BOSHMIS Partnership Agreement

HMIS Partnership Agreement

This agreement entered into on the _____ day of _____, 20___ between Arizona Department of Housing, hereafter known as "ADOH," and _____ (Agency Name), hereafter known as "Provider Agency," regarding access and use of the Arizona Balance of State Continuum of Care Homeless Management Information System, hereafter known as the "Arizona BOSCOC HMIS."

I.   Introduction

The Arizona BOSCOC HMIS, a shared homeless database, allows authorized Provider Agencies throughout the geographic area of Arizona counties (excluding Maricopa and Pima Counties) to input, use and receive information concerning their own clients and to share information, subject to client agreement, on common clients.

Arizona BOSCOC HMIS goals include:

- Improved coordinated care and services to people experiencing homelessness, or the threat of homelessness, in Arizona.

- Participating providers will improve their data collection and workflow with use of HMIS.

- Participating providers will use HMIS to meet all current reporting requirements including U.S. Department of Housing and Urban Development (HUD) and non-HUD reports.

- Minimally impacting automated systems of current participating agencies.

- Complying with all state and federal requirements regarding client/consumer confidentiality and data security (HIPAA, etc.).

- Delivering timely, credible, quality data to the community.

- Expansion to include new participating agencies.

- HMIS participation by all homeless providers in the Arizona BOSCOC geographic area.

- HMIS will be a user-friendly system for participating agencies and clients.

ADOH administers the Arizona BOSCOC HMIS, contracts for an agency to house the HMIS database central server and coordinates Provider Agency access to the HMIS database. Utilizing a variety of methods[1], ADOH intends to protect, to the utmost of its ability, the Arizona BOSCOC HMIS data from accidental or intentional unauthorized modification, disclosure or destruction.

Designed to benefit multiple stakeholders[2], the Arizona BOSCOC HMIS, when used correctly and faithfully, will improve knowledge about the services and service needs of people experiencing homelessness which will result in a more effective and efficient service delivery system.

II.   Confidentiality

A. The Provider Agency will uphold relevant federal and state confidentiality regulations and laws that protect client records and will only release confidential client records with written consent by the client[3], or the client's guardian[4], unless otherwise provided for in regulations or laws.

1. The Provider Agency will abide specifically by federal confidentiality regulations as contained in the Code of Federal Regulations, 42 CFR Part 2, regarding disclosure of alcohol and/or drug abuse records. In general terms, the federal regulation prohibits the disclosure of alcohol and/or drug abuse records unless disclosure is expressly permitted by written consent of the person to whom it pertains or as otherwise permitted by 42 CFR Part 2. A general authorization for the release of medical or other information is not sufficient for this purpose. The Provider Agency understands the federal rules restrict any use of the information to criminally investigate or prosecute any alcohol or drug abuse patients.

2. The Provider Agency will abide specifically, when applicable, with the Health Insurance Portability and Accountability Act of 1996 (HIPAA) and corresponding regulations passed by the Federal Department of Health and Human Services. In general, the regulations provide consumers with rights to control the release of medical information, including the right: to give advance consent prior to disclosures of health information; to see a copy of health records; to request a correction to health records; to obtain documentation of disclosures of health information; to obtain an explanation of privacy rights; and to be informed about

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[1]   *See Bowman Service Point manual for further information.*
[2]   *Participating agencies, people experiencing homelessness, HUD, the Arizona BOSCOC Regional Steering Committee and the Continuum members, fund providers and the community.*
[3]   *Anyone who receives services from an agency.*
[4]   *Anyone legally in charge of the affairs of a minor or of a person deemed incompetent according to the laws of the State of Arizona. All references to "client" in this Agreement also apply to "client's guardian".*

how information may be used or disclosed. The current regulation provides protection for paper, oral and electronic information.

3. The Provider Agency will abide by Arizona state and federal laws related to confidentiality and security of medical, mental health and substance abuse information as found in Arizona Revised Statues Title 12, Arizona Revised Statutes Title 36, 42 CFR Part 2 and other relevant statutes, rules and regulations.

4. The Provider Agency will provide a verbal explanation of the Arizona BOSCOC HMIS and arrange, when possible, for a qualified interpreter or translator for an individual not literate in English or having difficulty understanding the consent form(s).

5. The Provider Agency will not solicit or input information from clients into the Arizona BOSCOC HMIS unless specific information proves essential to provide services, to develop reports and provide data and/or to conduct evaluations and research. Evaluation and research will only use de-identified client data except in the case when the Provider Agency evaluates and researches its own clients. In all cases, the Provider Agency shall maintain compliance with all state and federal laws regarding research, evaluation and confidentiality of individual client identities.

6. If a Human Subjects Review Committee or similar committee exists within the Provider Agency, then the Provider Agency, wishing to conduct evaluation or research, must submit its request and be approved by BOSCOC HMIS committee prior to conducting the evaluation or research.

7. The Provider Agency will not divulge any confidential information received from the Arizona BOSCOC HMIS to any organization or individual without proper written consent by the client unless otherwise permitted by relevant regulations or laws.

8. The Provider Agency will ensure that every person issued a User Identification and Password to the Arizona BOSCOC HMIS will comply with the following:

   a. Read and abide by this Partnership Agreement.

   b. Read and abide by the Arizona Department of Housing HMIS Policies and Procedures manual[5].

   c. Read and sign a HMIS Code of Ethics form[6] stating an understanding of, and agreement to comply with, Arizona BOSCOC HMIS confidentiality practices.

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[5]   *The HMIS Policies and Procedures Manual is available on the ADOH website www.housing.az.gov.*
[6]   *See Code of Ethics form.*

      d. Create a unique password and will not share or reveal that information to anyone by written or verbal means.

9. The Provider Agency understands that individuals granted Agency Administrator access within each agency must become a designated Arizona BOSCOC HMIS Agency Administrator through specific training provided by the System Administrator.

10. The Provider Agency understands that all client information will be encrypted[7] on a file server physically located in a locked office with controlled access, at the offices of Bowman Systems, LLC located at 333 Texas Street, Suite 300 | Shreveport, Louisiana 71101.

B. The Provider Agency agrees to document, via a signed Arizona BOSCOC HMIS Release of Information form, a client's understanding and consent to enter client information into a central database and the reasons for this entry. Furthermore,

1. An individual client must give informed client consent by understanding and signing the Arizona BOSCOC HMIS Release of Information form prior to the Provider Agency sharing any client information with another agency.

2. The completed Arizona BOSCOC HMIS Release of Information form provides:

    a. Informed client consent regarding basic identifying client data to be entered into a shared database.

    b. Release of service transaction information to be shared for report purposes.

    c. Client release to authorize the sharing of client identifying information among Arizona BOSCOC HMIS Participating Provider Agencies.

3. If a client denies authorization to share information via the Arizona BOSCOC HMIS Release of Information form, other Provider Agencies will not see the client's demographic or service information.

4. Each Provider Agency is responsible for ensuring that its staff and users comply with the requirements for informed consent and client confidentiality. The ADOH[8] will ensure and conduct periodic monitoring and reviews with Provider Agencies to enforce informed consent standards by including a Arizona BOSCOC HMIS Release of Information form for every adult client and/or head of household.

5. The Provider Agency agrees to place all Arizona BOSCOC HMIS Release of Information forms related to the Arizona BOSCOC HMIS in the client's file to be

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[7] *See Bowman Service Point Manual for encryption specifications.*

[8] *The ADOH may conduct these reviews or may accept a similar review by another organization as evidence of Participating Agency compliance.*

located at the Provider Agency 's business address and that such files be made available to the ADOH for periodic audits. The Provider Agency will retain these Arizona BOSCOC HMIS related forms for a period of five (5) years upon expiration after which time the forms will be discarded in a manner ensuring un-compromised client confidentiality.

6. The Provider Agency understands that in order to update, edit or print a client's record, the Provider Agency must have on file a <u>current</u> client consent form.

7. The Provider Agency agrees to enter the minimum data required in the Arizona BOSCOC HMIS; however, this does NOT mean that a Provider Agency is required to share client information if, by law, it is required not to share client information.

C. The Provider Agency and ADOH understand that the Arizona BOSCOC HMIS and the ADOH are custodians of data and not owners of data.

1. In the event the Arizona BOSCOC HMIS ceases to exist, the ADOH will notify Provider Agencies and provide a six (6) month time period for the Provider Agencies to access and save agency specific client data, statistical data and frequency data from the entire system. Then, the centralized server database will be purged or stored. If the latter occurs, the data will remain in an encrypted and aggregate state.

2. In the event the ADOH ceases to operate the Arizona BOSCOC HMIS, another organization will administer and take custodianship of the data. The ADOH or its successor Agency will inform, in a timely manner, all Provider Agencies.

3. If the Provider Agency ceases to exist, it shall notify and work with the ADOH to determine the appropriate disposition of Provider Agency's data including the transfer of the data to a successor agency.

4. If the Provider Agency chooses to withdraw from the Arizona BOSCOC HMIS, the Provider Agency shall notify the ADOH of intended withdrawal date. The ADOH shall allow sixty (60) days for the Participating Agency to access and save agency specific client data, statistical data and frequency data from the entire system. The Provider Agency is financially responsible for extracting its data.

5. In the event Bowman Systems ceases to exist, the ADOH will notify Provider Agencies in a timely manner of the expected result of this event.

III. Data Entry and/or Regular Use

A. User Identification and Passwords are not permitted to be shared among users.

B. If a Provider Agency has access to a client's basic identifying information, non-confidential service transactions and confidential information and service records, it will be generally understood that a client gave consent for such access. However, before a Provider Agency can update, edit or print such information, it must have informed client consent, evidenced by a <u>current</u> standard Arizona BOSCOC HMIS Release of Information form in writing.

C. In the event that a client would like to rescind consent to share information in the Arizona BOSCOC HMIS, the Provider Agency at which her/his desire is expressed, will work with the client to complete a brief written request and have client sign another Arizona BOSCOC HMIS Release of Information form choosing: "Initial here if you **DO NOT** wish to share your information.". Provider Agency will then add another ROI with the date client rescinded consent into Arizona BOSCOC HMIS with "No" for "Release Granted".

D. Provider Agency will not enter any fictitious or misleading client data on an individual or family in the Arizona BOSCOC HMIS.

E. The Provider Agency <u>will not</u> misrepresent the number of clients served or the type of services/beds provided in the Arizona BOSCOC HMIS by entering known, inaccurate information (i.e. Provider Agency will not purposefully enter inaccurate information on a new record or to over-ride information entered by another agency).

F. The Provider Agency will enter information into the Arizona BOSCOC HMIS according to agency and Arizona BOSCOC HMIS adopted standards and will strive for real-time, or close to real-time, data entry. Real-time or close to real-time is defined by either immediate data entry upon seeing a client, or data entry into the Arizona BOSCOC HMIS within one (1) business day. This assumes that the Provider Agency has sufficient computers available for all staff performing data entry into the Arizona BOSCOC HMIS.

G. The Provider Agency understands that a current Arizona BOSCOC HMIS Release of Information form permits sharing confidential client information with other participating Provider Agencies.

H. The Provider Agency understands that only users from originating agency can create and edit the Entry/Interim/Exit assessments. The Provider Agency will create a new, separate Entry/Interim/Exit assessment, as needed, to indicate a change in a client's status, updates and to edit incorrect information.

I. Discriminatory comments by an employee, volunteer or other person acting on behalf of the Provider Agency based on race, color, religion, national origin, ancestry, handicap, age, sex and sexual orientation <u>are not</u> permitted in the Arizona BOSCOC HMIS. Offensive language and profanity <u>are not</u> permitted in the Arizona BOSCOC

HMIS. This does not apply to the input of direct quotes by a client **IF** the Provider Agency believes that it is essential to enter these comments for assessment, service and treatment purposes.

J. The Provider Agency will utilize the Arizona BOSCOC HMIS for business purposes only.

K. The Provider Agency understands the System Administrator will provide initial training and periodic updates to that training to assigned Provider Agency staff about the use of the Arizona BOSCOC HMIS.

L. The Provider Agency understands the System Administrator will provide a help desk with technical-support according to the following:

Help Desk will be provided between 9:00 a.m. to 5:00 p.m. Monday through Friday, Arizona Time, except holidays. Support telephone numbers and e-mail addresses will be provided to Provider Agencies upon signing this Agreement. Contact with the Help Desk will not incur any long distance charges.

In the event of non-response by the Help Desk, the Provider Agency should notify the ADOH.

M. The Provider Agency will keep updated virus protection software on agency computers that access the Arizona BOSCOC HMIS.[9]

N. Transmission of material in violation of any United States federal or state law or regulation is prohibited and includes, but is not limited to: copyright material, material legally judged to be threatening or obscene and material considered protected by trade secret.

O. The Provider Agency will not use the Arizona BOSCOC HMIS with intent to defraud the federal, state or local government or an individual entity or to conduct any illegal activity.

P. The Provider Agency recognizes the Arizona BOSCOC HMIS Committee will serve as a discussion center regarding the Arizona BOSCOC HMIS, including Arizona BOSCOC HMIS process updates, policy and procedures, as well as data analysis. The Provider Agency will designate a Provider Agency staff member to attend HMIS Committee meetings regularly and understands that the ADOH will continue to be responsible for coordinating the HMIS activities.

Q. The Provider Agency acknowledges that other agencies will periodically have access to de-identified data on the central database. To ensure the information generated by or through the Arizona BOSCOC HMIS presents an accurate picture of homelessness and

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[9] *Participating Agency assumes financial responsibility for virus protection software.*

services to people experiencing homelessness in the Arizona Balance of State region, the Participating Agency will enter data in a timely and accurate manner.

R. Each Provider Agency assumes responsibility for its staff and users' compliance in regards to requirements for data entry and use of the Arizona BOSCOC HMIS. To assess the quality of data and reports generated by the system, the ADOH[10] will conduct periodic monitoring and reviews on data. These include, and are not limited to, the following:

1. Quality of data entered by Provider Agencies:

   a. Inappropriate and/or duplicate records;

   b. Untimely and/or inaccurate information.

   c. Missing required data elements.

2. Operation of the software.

3. Report functionality.

S. Provider Agencies must notify ADOH of any changes to User Identification including, but not limited to, new personnel and released or terminated personnel.

IV. Reports

A. The Provider Agency understands that it will retain access to all identifying and statistical data on the clients it serves.

B. The Provider Agency understands that it may have access to personally identifiable client information even if the Provider Agency has not served the client or obtained a client's Arizona BOSCOC HMIS Release of Information form. The Provider Agency agrees to **not report or release** any identifiable client information on clients that the Provider Agency has not served or obtained a signed client Release of Information form.

C. The Provider Agency understands that before non-identifying system-wide aggregate information collected by the Arizona BOSCOC HMIS is disseminated to non-Arizona BOSCOC HMIS Member Agencies, including funders, the HMIS Committee and/or the ADOH shall endorse it[11].

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[10]   *The ADOH may conduct these reviews or may accept a similar review by another organization as evidence of compliance by the Participating Agency.*

[11]   *The Arizona BOSCOC HMIS Committee will serve in part to protect the confidentiality of clients and the integrity of the data by requiring certain methods of data analysis be utilized.*

D. The Provider Agency will run its own reports from Arizona BOSCOC HMIS. Each Provider Agency will receive required training and then have the ability to complete each Provider Agency's reporting needs.

V. Proprietary Rights and Database Integrity

A. The Provider Agency <u>will not</u> give or share assigned User Identification and Passwords to access the Arizona BOSCOC HMIS with any other organization, governmental entity, business or individual.

B. The Provider Agency <u>will not</u> cause in any manner, or way, corruption of the Arizona BOSCOC HMIS. Any unauthorized access or modification to computer system information or interference with normal system operations, whether on the equipment housed by the ADOH or any computer system or network related to the Arizona BOSCOC HMIS, will result in immediate suspension of services and the ADOH will pursue all appropriate legal action.

VI. Hold Harmless

A. The ADOH makes no warranties, expressed or implied. The Provider Agency, at all times, will indemnify and hold the ADOH harmless from any damages, liabilities, claims and expenses that may be claimed against ADOH or the Provider Agency or for injuries or damages to ADOH or the Provider Agency or another party arising from participation in the Arizona BOSCOC HMIS or arising from any acts, omissions, neglect or fault of the Provider Agency or its agents, employees, licensees or clients or arising from the Provider Agency's failure to comply with laws, statutes, ordinances or regulations applicable to it or the conduct of its business. This Provider Agency will also hold the ADOH harmless for negative repercussions resulting in the loss of data due to delays, non-deliveries, mis-deliveries or service interruption caused by the Provider Agency's negligence or errors or omissions, as well as natural disasters, technological difficulties and/or acts of God. The ADOH shall not be liable to the Provider Agency for damages, losses or injuries to the Provider Agency or another party unless such is the result of negligence or willful misconduct of the ADOH or its agents, employees, licensees, or clients.

B. The Provider Agency makes no warranties, expressed or implied. The ADOH, at all times, will indemnify and hold the Provider Agency harmless from any damages, liabilities, claims and expenses that may be claimed against the ADOH or Provider Agency or for injuries or damages to the ADOH, the Provider Agency or another party arising from participation in the Arizona BOSCOC HMIS or arising from any acts, omissions, neglect or fault of the ADOH or its agents, employees, licensees or clients or

arising from the ADOH's failure to comply with laws, statutes, ordinances or regulations applicable to it or the conduct of its business. Thus ADOH will also hold the Provider Agency harmless for negative repercussions resulting in the loss of data due to delays, non-deliveries, mis-deliveries or service interruption caused by the ADOH or a Provider Agency's negligence or errors or omissions, as well as natural disasters, technological difficulties and/or acts of God. The Provider Agency shall not be liable to the ADOH for damages, losses or injuries to the ADOH or another party unless such is the result of negligence or willful misconduct of the Provider Agency or its agents, employees, licensees or clients.

C. The Provider Agency agrees to keep in force a comprehensive general liability insurance policy with combined single limit coverage of not less than five hundred thousand dollars ($500,000.00). Said insurance policy shall include coverage for theft or damage of the Provider Agency's Arizona BOSCOC HMIS-related hardware and software, as well as coverage of Provider Agency's indemnification obligations under this Agreement.

VII.   ADOH Responsibilities

A. ADOH agrees to enter into a contract and maintain the services of the ServicePoint software according to the terms and conditions of the contract with the Software Provider.

B. ADOH agrees to maintain a System Administrator who will provide training, implementation, help desk and support to the Provider Agencies.

VIII.   Dispute Resolution and Appeals

A. If the Provider Agency disagrees with any element of this Agreement, it shall make every effort to address and resolve those issues with ADOH.

B. ADOH will respond to the request for modification to this Agreement within 14 business days.

IX.   Terms and Conditions

A. The parties hereto agree that this Agreement is the complete and exclusive statement of the agreement between parties and supersedes all prior proposals and understandings, oral and written, relating to the subject matter of this Agreement.

B. Neither party shall transfer or assign any rights or obligations without the written consent of the other party.

C. This Agreement shall remain in-force until revoked in writing by either party with thirty (30) days advance written notice. The exception to this term is if allegations, or actual incidences, arise regarding possible, or actual, breaches of this agreement. Should such situation arise, the ADOH may immediately suspend access to the Arizona BOSCOC HMIS until the allegations are resolved in order to protect the integrity of the system.

1. When the ADOH becomes aware of a possible or actual incident, it shall make a reasonable effort to address its concerns with the Executive Director of the Provider Agency prior to taking action.

2. If ADOH believes that the breach by a Provider Agency is such that it may damage the integrity of the central database and the information in the central database for the Provider Agency or any other Agency, it may take immediate steps to suspend the Provider Agency's access to the Arizona BOSCOC HMIS prior to addressing the concerns with the Executive Director of the Provider Agency. The ADOH will then address the concern with the Executive Director of the Provider Agency to resolve the issue.

3. If the concern is not resolved satisfactorily between the ADOH and the Executive Director of the Provider Agency, the ADOH shall consult with the Arizona Attorney General prior to taking further action.

4. Action with a Provider Agency may include the provision of training and technical assistance, fines, suspension of access to the central database or other appropriate measures to ensure that the data integrity is maintained.

D. If a Provider Agency believes that action taken is not appropriate, or it cannot meet the conditions of the decision, it may appeal the action to ADOH. This Agreement shall be governed and interpreted by the laws of the State of Arizona. The parties to this Agreement agree to resolve all disputes arising out of or relating to this Agreement through arbitration, after exhausting applicable administrative review, to the extent required by A.R.S. § 12-1518 except as may be required by other applicable statutes.

E. This agree may be modified or amended by written agreement executed by both parties with thirty (30) days advance written notice.

Use of the Arizona BOSCOC HMIS constitutes acceptance of these Terms and Conditions.

PROVIDER AGENCY

_____   _____

Executive Director (Provider Agency) Signature   Date

_____

Printed Name of Executive Director

_____

Participating Agency Name

_____

Participating Agency Address

ARIZONA DEPARTMENT OF HOUSING

_____   _____

Karia Lee Basta, Special Needs Administrator   Date
Arizona Department of Housing
1110 West Washington Street, Suite 280
Phoenix, AZ 85007

ATTACHMENT B – Code of Ethics

Code of Ethics for Persons Using

Arizona Balance of State Continuum of Care Homeless Management Information System (AZBOSCOC HMIS)

As a User (agency staff or agency volunteer) of the AZBOSCOC HMIS who enters information into the HMIS or views electronic information in the HMIS, I agree to the following:

_____ I understand that my User ID and Password give me access to the AZBOSCOC HMIS.

_____ My User ID and Password are for my use only and I will not share, or allow them to be shared, with any person for any reason.

_____ I will take all reasonable means to keep my User ID and Password physically secure to prevent its use by any other person.

_____ I understand that the only individuals who can view information in the AZBOSCOC HMIS are authorized users and the clients to whom the information pertains.

_____ I understand that not all users can view all information.

_____ I will only view, obtain, disclose, or use the database information that is necessary to perform my job.

_____ If I am logged into the HMIS and must leave my work area for any length of time, I must log-off the HMIS and close the Internet browser before leaving the work area. Failure to log off the HMIS appropriately may result in a breach in client confidentiality and system security.

_____ I will obtain and file a hard copy of such client consent forms as are required by my agency, state and/or federal law and the AZBOSCOC HMIS.

_____ I understand that I must save data at regular intervals because the system will log off at 15-minute intervals without automatically saving the information that I have entered.

_____ I agree to enter data into the HMIS in accordance to the policies of my agency and the standards of the AZBOSCOC HMIS.

_____ I agree that I will not enter in the HMIS discriminatory comments made by or about an employee, volunteer, or other person based on race, color, religion, national origin, ancestry, handicap, age, sex, and sexual orientation. I understand that offensive language and profanity are not permitted in the AZBOSCOC HMIS. This does not apply to the input of direct quotes by a client IF the Agency believes that it is essential to enter these comments for assessment, service and treatment purposes.

_____ I agree to use the HMIS ONLY for business purposes related to serving the clients of my agency.

_____ If I notice or suspect a security breach, I shall immediately notify the designated HMIS Contact person in my agency or the AZBOSCOC HMIS System Administrator.

_____ As an AZBOSCOC HMIS user, I will treat other Member Agencies and their staff with respect, fairness and good faith.

_____ As an HMIS user, I will treat clients and potential clients of my agency and other agencies with respect, fairness and good faith in obtaining and entering their data.

_____ As a HMIS user, I will maintain high standards of professional conduct.

_____ As a HMIS user, I recognize that my primary responsibility is to my client.

_____ I understand that I may be subject to personnel action, including but not limited to termination from employment or volunteer status, from my employer for failure to comply with this Code of Ethics.

I have read, understand and agree to comply with all of the statements above.

_____
User Signature   Date

_____
Print User Name and Job Title

_____
User E-mail Address

_____
Agency Name

_____
Agency Administrator or Executive Director's Signature   Date

ATTACHMENT C – Client Release of Information

AZBOSCOC HMIS
CLIENT RELEASE OF INFORMATION

I acknowledge that the Arizona Balance of State Continuum of Care Homeless Management Information System (AZBOSCOC HMIS) is used by provider agencies that work together to provide services for those experiencing homelessness. I acknowledge that Client information assists the agencies to plan for and provide services for me, as the client and my family (if applicable). This information will be shared among agencies to provide coordination and delivery of those services. I understand that all information entered into HMIS is protected by passwords and encryption technology and that steps are taken to safeguard the information that is entered into HMIS.

Every project that receives federal homeless project funds from the U.S. Department of Housing and Urban Development is required to enter data on persons served with those funds into the AZBOSCOC HMIS. Some projects funded through the U.S. Veterans Administration and the U.S. Department of Health and Human Services may also be required to enter data into HMIS.

I acknowledge that HMIS agencies that offer services may enter, see, and update information about me and/or my household members (if applicable) including name, gender, race, ethnicity, date of birth, veteran status, proof of homelessness, income, insurance, disabilities and service transactions. Any agency that views my information must keep it confidential and use it for program purposes only. My decision to grant or not grant permission to share my information will not affect services provided for me. I understand that I may withdraw my consent at any time, except for information that has already been given out or actions already taken, with a signed and dated statement. I have a right to see my record, ask for changes, and receive a copy of my record upon written request. This ROI will be in effect for one (1) year from the date of signature.

[ ] Initial here if you **DO** wish to share all of your information with the agencies listed below. This includes any information currently in HMIS.

[ ] Initial here if you **DO NOT** wish to share your information.

_____   _____
Client's Signature   Date

_____
Print Name (Client)

_____   _____
Other Party (Guardian)   Date

_____   _____
Print Name   Relationship to Client

_____   _____
Witness Signature   Date

HOUSEHOLD MEMBERS (if applicable):

Name: _____   Date of Birth: _____   Relationship: _____

Name: _____   Date of Birth: _____   Relationship: _____

Name: _____   Date of Birth: _____   Relationship: _____

This form will be retained and must be re-signed annually. If you would like a copy of this form, we will provide you with a copy.

Agencies Currently Participating in AZBOSCOC HMIS:

ACHIEVE Human Services 3250A East 40th Street Yuma, AZ 85365	**American Red Cross-Southern Arizona Chapter** 2916 East Broadway Boulevard Tucson, AZ 85716
Arizona Department of Housing 1110 West Washington Street, Suite 280 Phoenix, AZ 85007	**Arizona Youth Partnership** 1902 Pacific Avenue Kingman, AZ 86401
Bisbee Coalition for the Homeless 508 Romero Street Bisbee, AZ 85603	**Bread of Life Mission** 885 Hermosa Holbrook, AZ 86025
CAHRA 109 North Sunshine Boulevard Eloy, AZ 85131	**Catholic Charities Community Services** 2101 North 4th Street/ Flagstaff, AZ 87004 434 West Gurley / Prescott, AZ 86301 736 North Main Street / Cottonwood, AZ 86326
Cenpatico Integrated Care 333 East Wetmore Road Tucson, AZ 85705	**CODAC** 9905 East Catalina Drive Prescott, AZ 86314
Community Partnership of Southern Arizona 4575 East Broadway Tucson, AZ 85711	**Cornerstone Mission Project, Inc.** 3049 Sycamore Avenue Kingman, AZ 86409
Crossroads Mission 944 South Arizona Avenue Yuma, AZ 85364	**Flagstaff Shelter Services** 4185 East Huntington Drive Flagstaff, AZ 86004
Good Neighbor Alliance 420 North 7th Street Sierra Vista, AZ 85635	**Horizon Health & Wellness** 120 West Main Street Casa Grande, AZ 85122
Housing Authority of Cochise County 100 Clawson Avenue Bisbee, AZ 85603	**Housing Solutions of Northern Arizona** Post Office Box 30134 Flagstaff, AZ 86003
Mohave County Community Services Department Post Office Box 7000 Kingman, AZ 86402	**National Community Health Partners** 255 West 24th Street, #4 / Yuma, AZ 85364 501 North Florence Street, #101 / Casa Grande, AZ 85122
Northern AZ Consumers Advancing Recovery by Empowerment 599 White Spar Road Prescott, AZ 86303	**Northern AZ Regional Behavioral Health Authority** 1300 South Yale Street Flagstaff, AZ 86001
Northern AZ Veterans' Resource Center 1515 East Cedar Avenue, #A-5 / Flagstaff, AZ 86004 240 South Montezuma, #101 / Prescott, AZ 86303 1491 Palma Road, #15 / Bullhead City, AZ 86442	**Northland Cares** 3112 Clearwater Drive, Suite A Prescott, AZ 86305
Northland Family Help Center 2532 North 4th Street #506 Flagstaff, AZ 86004	**Old Concho Community Assistance Center** Post Office Box 50 Concho, AZ 85924
Pasadera Behavioral Health Network 2700 South 8th Avenue Tucson, AZ 85713	**Sunshine Rescue Mission** 124 South San Francisco Street Flagstaff, AZ 86001
The Guidance Center 2187 North Vickey Street Flagstaff, AZ 86004	**U.S. Vets** 917 East Gurley Street Prescott, AZ 86301
West Yavapai Guidance Clinic 3112 Clearwater Drive, Suite B Prescott, AZ 86305	**Western Arizona Council of Governments** 224 South 3rd Avenue Yuma, AZ 85364
Women's Transition Project Post Office Box 943 Bisbee, AZ 85603	

ATTACHMENT D – Bowman Systems (Securing Client Data)

BOWMAN SYSTEMS

SECURING CLIENT DATA

Bowman Systems
333 Texas Street, Suite 300
Shreveport, LA 71101
Toll Free: (888) 580-3831
Direct: (318) 213-8780
Fax: (318) 213-8784
www.bowmansytstems.com

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SECURING CLIENT DATA

Bowman Systems is committed to maintaining optimum client data security by meeting and exceeding industry standard practices. As a leader in software and Information Technology (IT) services for the health and human services industry, Bowman Systems considers data security as the cornerstone of all of its development efforts. In 1999, Bowman Systems pioneered its secured data-sharing model, enabling multi-agency collaboratives to collaborate while safeguarding client data (*ServicePoint* 1.0). In 2000, Bowman Systems was the first web-based client data system to offer integrated database-level encryption. Again, in 2001, Bowman Systems pioneered its integrated Audit Trail system before the HIPAA requirement.

Bowman Systems has always held conviction that our products be fully web based and that we own and operate our own data center. We seek to provide best of class data center services to ensure data security and regulatory compliance, and continuously expand and invest in our data center to include physical security, network security, redundant power, redundant HVAC, environmental monitoring systems, fire suppression systems and full time staff to manage all of the afore mentioned.

This document outlines the measures taken by Bowman Systems to secure all client data on each of our customer's *ServicePoint* sites. The steps and precautions taken to ensure that data is stored and transmitted securely are divided into six main sections – Access Security, Site Security, Network Security, Disaster Recovery, HIPAA Compliance, and Unauthorized Access.

ACCESS SECURITY

Access Security begins at Bowman Systems with a focus on the following areas:

- Bowman Systems Employees
- Bowman Systems Access to *ServicePoint*
- Audit Trails
- Customer Access to *ServicePoint*.

Bowman Systems Employees

Bowman Systems' designated Security Officer assures employees are held to the highest standards when it comes to both company and customer data security. Employees who have access to client data are subject to a national background check, training on confidentiality requirements (company, HIPAA, HUD), and must sign a confidentiality statement as part of their employee agreement.

Bowman Systems Access to ServicePoint

- Only a limited number of Bowman Systems' staff has access to a customer's *ServicePoint* site and client data. Access occurs only when you request an installation, import of data, implementation upgrade, or require assistance by support staff to troubleshoot a problem.

❯ The contract between the customer and Bowman Systems legally compels Bowman Systems to hold all client data stored in the customer's database in strict confidence. Bowman Systems will take all reasonable precautions to prevent the disclosure to outside parties of such information, except as may be necessary by reason of legal, accounting, or regulatory requirements.

❯ Access to the customer's system data by Bowman Systems support staff can be monitored by running an *Audit Report* (see Automated Audit Trail below).

Audit Trail

❯ *ServicePoint* automatically tracks caller, client, and resource related activity by the use of an audit trail. This system function logs the time and type of activity, as well as the name of the user who viewed, added, edited, or deleted the information.

❯ All changes to Resource records are automatically tracked by the User (updates, as well as, date and time the updates were made). In addition, there is a Date of Official Update that is set when the Resource record has been formally reviewed. This section includes not only date and time of the Official update but also which User performed the action, which organization requested the Official Update, and a notes field for describing the reason for the update (such as Annual Review, Agency Request, etc).

❯ To retrieve information created by the audit trail, an *Audit* report can be generated in the Reporting section of *ServicePoint*. Access to client audit information is limited to System Administrator and Agency Administrator access levels.

Customer Access to ServicePoint

❯ To ensure authorized access, each user is issued a user name and password for entrance into the *ServicePoint* application.

♦ Each *ServicePoint* user is required to have a unique User ID to log into the application.

♦ Passwords must be 8 to 16 characters in length and must contain at least two numbers.

♦ The system allows only one login per password at a time. A user cannot log into the system on two terminals at the same time using a single password.

♦ Passwords automatically expire every 45 days requiring the user to create a new password.

♦ A prompt appears when you need to choose a new password.

♦ The same password cannot be used consecutively.

♦ To enforce password security, *ServicePoint* will not allow a browser to save a password. In addition, if FOUR consecutive logon attempts with the incorrect password are made the user account will need to be reset by your System Administrator. This security feature prevents access to the site by a password generator.

♦ Passwords are stored as hashed values in the *ServicePoint* database

❯ *ServicePoint* has an automatic logout function for users who have been idle for a pre-determined period. (The default setting is 30 minutes.) This function decreases potential viewing and/or manipulation of client data by unauthorized individuals. Although the default setting is 30 minutes,

each installation can request Bowman Systems to set the system timeout for a length that meets their particular policies and procedures.

❯ To limit who can view and/or modify the customer's client data, individuals are assigned one of seventeen (17) User Access Levels. Each user level has certain security restrictions applied to it. Each user level has access to certain *ServicePoint* features and the ability to view certain pieces of client information. The System Administrators II can see all data, even when it is closed.

♦ Each level grants different access rights and abilities to the various sections (ClientPoint, ResourcePoint, SkanPoint, ShelterPoint, Admin etc.) of the application.

SITE SECURITY

Site security is a high priority since it not only helps protect the customer's stored client data, but also protects the equipment used to host the customer's data. To ensure the protection and service reliability for the customer's system, Bowman Systems has instituted the following security levels:

Building Security

Bowman Systems' offices are located in a large commercial complex with the following perimeter security systems:

❯ 24-hour security personnel ❯ 24-

hour video surveillance

❯ Building fire suppression system

❯ After-hours Key Card entry to building

❯ After-hours Key Card elevator access

❯ Locked stairwells during non-business hours.

Bowman Systems Headquarters Security

The Bowman Systems offices and data centers include the following additional levels of security.

❯ After-hours key entry to offices

❯ Dedicated and secured Data Center

♦ Locked down 24-hours per day

♦ Two separate, fully redundant HVAC systems for server areas

♦ Only accessible by management controlled key

♦ Protected by a state of the art, non-liquid automatic fire suppression system

♦ No access is permitted to the office cleaning staff

♦ Accessed by key personnel only (e.g. Information Technology and Management staff). Access is required for nightly data backups, new installations, upgrades and maintenance.
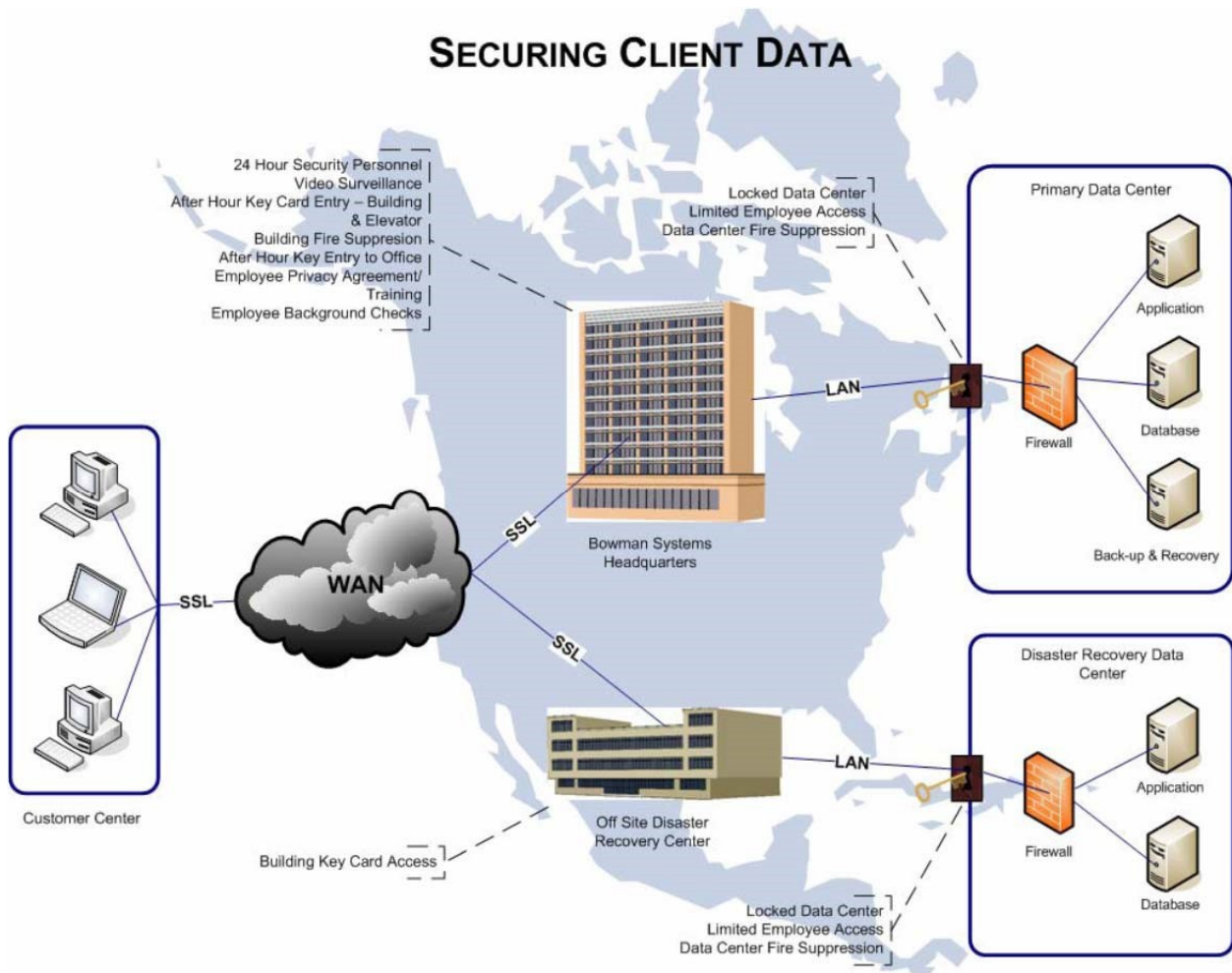
NETWORK SECURITY

Database security includes protection of client data residing on the database server and as it is transmitted over the internet through the application server. The security measures in place ensure that client data is only available and accessed by authorized users.

There is a nightly backup of the *ServicePoint* system that is comprised of a backup of the database and a backup of the application code. Our standard protocol includes nightly tape backup of the client's database that is carried three miles off-site and stored in a fireproof facility. Bowman Systems maintains redundant power for all on-site servers via building power and building generator and redundant bandwidth provided via two separate upstream providers. Our data center contains a state-of-the-art, nondestructive fire-suppression system. Bowman Systems also utilizes RAID technologies (Redundant Array of Independent Disks) to mirror the hard drives, provide faster data throughput and ensure reliable data.

- ♦ Multiple broadband connections, fully load balanced for reliability and speed.

- ♦ Reliable Enterprise class Cisco switches and routing equipment

- ♦ A natural gas powered generator capable of powering the facility indefinitely and UPS backups to supply uninterrupted power and prevent power surges that may damage equipment. This system is tested monthly (in such a way that power is not interrupted) to ensure reliability.

- ♦ Two separate, fully redundant HVAC systems for server areas.

- ♦ A non-liquid automatic fire control system.

- ♦ A physically secure building with keycard access, video surveillance and 24 x 7 security guard controlled access.

Data Security

To ensure availability of customer data in the event of system failure or malicious access, redundant records are created and stored in the following manner:

- ❯ Nightly database tape backups.

- ❯ Offsite storage of tape backups

- ❯ 7 day backup history stored locally on instantly accessible Raid 10 storage

- ❯ 24 hours backed up locally on instantly-accessible disk storage

- ❯ 1 month backup history stored off site

- ❯ 24 x 7 access to Bowman Systems emergency line to provide assistance related to "outages" or "downtime".

Firewalls

To enhance security further, firewalls are in place on all servers hosted by Bowman Systems. As detailed below, there are multiple levels of firewall security:

- ❯ The *ServicePoint* application and database servers are separate from the Bowman Systems internal network.

- ❯ Bowman Systems utilizes an industry standard Intrusion Detection System to pinpoint unauthorized attempts at accessing its network and to shield the customer's data in the event of such an attempt.

- ❯ Only regular and secured HTTP traffic are permitted through to the Bowman Systems application servers.

- ❯ As a security policy, specifics on the type of equipment, protocols, and procedures in use are never revealed.

- ❯ Database servers are only accessible via an internal network connection from our application servers.

Encryption

SSL Encryption

SSL encryption ONLY encrypts the data going across the internet to the end-user's web browser. Bowman Systems uses AES-256 encryption (Advanced Encryption Standard, 256-bit) in conjunction with RSA 2048-bit key lengths. A description can be found at http://en.wikipedia.org/wiki/Key_size.

When an end-user accesses their site, an SSL (encrypted) negotiation is performed between the server at Bowman Systems datacenter and the end user's web browser. The traffic that then flows between the server and the end user's workstation is encrypted using the SSL certificate installed on that server. This prevents anyone that is sitting in between our server here and the end user's workstation from being able to intercept potentially sensitive data. The AES-256 is the method in which the data is encrypted. There are various forms of SSL encryption. The key length make it more difficult to decrypt the encrypted data.

PUBLIC KEY INFRASTRUCTURE (PKI) (OPTIONAL)

As an option, Private Key Infrastructure (PKI) is available for those needing additional security frameworks. PKI is an additional layer of security on TOP of our standard SSL certificates. It is still SSL encrypted, however, this method of encryption requires a matching server certificate / client certificate pair in order to decrypt the data that is sent from the end user's *ServicePoint* site to their Web Browser. Without the appropriate PKI client certificate installed on the end-user's workstation, their web browser will not be able to decrypt the data and therefore will not be able to access the site. The PKI Client Certificate cannot be installed on a workstation without the appropriate password that accompanies the certificate. This allows the customer to regulate exactly who can and who cannot access their *ServicePoint* site.

Database Encryption (Optional)

The data in *ServicePoint* encrypted databases are encrypted with AES-128.

DISASTER RECOVERY

Due to the nature of technology, unforeseen service outages may occur. In order to assure service reliability for hosted *ServicePoint* applications, Bowman Systems offers the following disaster recovery options.

Basic Disaster Recovery Plan

The basic Disaster Recovery Plan is included in the standard *ServicePoint* contract and includes the following:

- Nightly database tape backups.
- Offsite storage of tape backups
- 7 day backup history stored locally on instantly accessible Raid 10 storage

- 1 month backup history stored off site

- 24 x 7 access to Bowman Systems emergency line to provide assistance related to "outages" or "downtime".

- 24 hours backed up locally on instantly-accessible disk storage

Standard Recovery: All customer site databases are stored online, and are readily accessible for approximately 24 hours; tape backups are kept for approximately one (1) month. Upon recognition of a system failure, a site can be copied to a standby server, and a database can be restored, and site recreated within three (3) to four (4) hours if online backups are accessible. As a rule, a tape restoration can be made within six (6) to eight (8) hours. On-site backups are made once daily and a restore of this backup may incur some data loss between when the backup was made and when the system failure occurred.

All internal servers are configured in hot-swappable hard drive RAID configurations. All systems are configured with hot-swappable redundant power supply units. Our Internet connectivity is comprised of a primary and secondary connection with separate internet service providers to ensure redundancy in the event of an ISP connectivity outage. The primary Core routers are configured with redundant power supplies, and are configured in tandem so that if one core router fails the secondary router will continue operation with little to no interruption in service. All servers, network devices, and related hardware are powered via APC Battery Backup units that in turn are all connected to electrical circuits that are connected to a building generator.

All client data is backed-up online and stored on a central file server repository for 24 hours. Each night a tape backup is made of these client databases and secured in a bank vault.

Historical data can be restored from tape as long as the data requested is 30 days or newer. As a rule, the data can be restored to a standby server within 6-8 hours without affecting the current live site. Data can then be selectively queried and/or restored to the live site.

For power outage, our systems are backed up via APC battery back-up units, which are also in turn connected via generator-backed up electrical circuits. For a system crash, Non-Premium Disaster Recovery Customers can expect six (6) to eight (8) hours before a system restore with potential for some small data loss (data that was entered between the last backup and when the failure occurred) if a tape restore is necessary. If the failure is not hard drive related these times will possibly be much less since the drives themselves can be repopulated into a standby server.

All major outages are immediately brought to the attention of executive management. Bowman Systems support staff helps manage communication or messaging to customers as progress is made to address the service outage. Bowman Systems takes major outages seriously, understands, and appreciates that the customer becomes a tool and utility for daily activity and client service workflow.

Premium Disaster Recovery Plan (Optional)

The *optional* Premium Disaster Recovery plan includes all of the Basic Plan features plus several additional levels of support to enhance disaster recovery capability. Additional features included are as follows:

- Off site, on a different Internet provider and on a separate electrical grid backups of the application server via a secured Virtual Private Network (VPN) connection.

- Near-Instantaneous backups of application site (no files older than 15 minutes)
- Minute-level off site replication of database in case of a primary data center failure
- Priority level response (ensures downtime will not exceed 4 hours)

HIPAA COMPLIANCE

HIPAA compliance is a requirement for many agencies that use *ServicePoint*, particularly as the compliance relates to the HIPAA standards for security. The following five (5) methods ensure that *ServicePoint* is fully compliant with HIPAA data center standards:

- Network Security includes firewalls, certification servers, VPN access, and Operating System authentication.
- Encryption (optional – pricing is available upon request) is a database level security which encrypts confidential information located in the database tables.
- Audit Trails log and report on users who have viewed, updated, or deleted client records.
- Client Record Privacy Options allow or restrict access to all or part of a client file, including individual fields (data level).
- Automatic timeout logs a user out of the system after a specified period, thereby decreasing the potential viewing or manipulation of client data by unauthorized individuals.

UNAUTHORIZED ACCESS

If an unauthorized entity were to gain access to a customer's system and client data or if there were suspicion of probable access, Bowman Systems would take the following steps:

- The system would be examined to determine the presence of system or data corruption.
- If the system has been compromised, the system would be taken offline.
- Using the previous night's backup, a restored copy of the system data would be loaded onto another server, and the system brought back on line with the back-up data.
- Comparing the back-up database to the database taken offline, an investigation would be launched to determine the extent of the unauthorized activity/corruption, and the corrective action needed.
- Upon completion of the investigation, findings would be reported to the customer and options would be discussed.
- Upon customer approval, corrective action would be initiated. Corrective action could include all or part of the following:
  - ♦ The original hard drive would be completely erased and rebuilt, including a new operating system, SSL Certificate, application(s), and the back-up database.
  - ♦ If applicable and feasible, lost data from the original database would be restored.

violate the rights of persons with disabilities. If an applicant's failure to respond to a request for information or updates was caused by the applicant's disability, HACC will provide a reasonable accommodation. If the applicant indicates that they did not respond due to a disability, the HACC will verify that there is in fact a disability and that the accommodation they are requesting is necessary based on the disability. An example of a reasonable accommodation would be to reinstate the applicant on the waiting list based on the date and time of the original application.

4.10 INFORMAL REVIEW

If HACC determines that an applicant does not meet the criteria for receiving Section 8 assistance, HACC will promptly provide the applicant with written notice of the determination. The notice must contain a brief statement of the reason(s) for the decision, and state that the applicant may request an informal review of the decision within ten (10) business days of the denial. HACC will describe how to obtain the informal review. The informal review process is described in Section 16.2 of this Plan.

5.0 SELECTING FAMILIES FROM THE WAITING LIST

5.1 WAITING LIST ADMISSIONS AND SPECIAL ADMISSIONS

If HUD awards funding that is targeted for families with specific characteristics or families living in specific units, HACC will use the assistance for those families.

5.2 PREFERENCES

Families are eligible for the following local preferences:

1. Residency - Living or working in Cochise or Graham Counties or have notified that they are hired to work in Cochise or Graham Counties..

2. Elderly/Disabled - One who is at least 62 years old. Disabled person as defined by Section 223 of the Social Security Act or Section 102(7) of the Developmental Disabilities Assistance and Bill of Rights Act.

3. Economic Self Sufficiency - A person, who is a student, working or in job training for at least three months.

4. Chronically Homeless - A person who is referred to HACC by a homeless shelter as chronically homeless as defined by HUD.

5.3 SELECTION FROM THE WAITING LIST

2011

City of Flagstaff Housing
Authority

SECTION 8 ADMINISTRATIVE PLAN

Amended June 27, 2011
by the
City of Flagstaff Housing Authority Board of Commissioners

O.   Have a family member who has been terminated under the voucher program by the CFHA.

P.   Have a family member who has committed fraud, bribery, or any other corrupt or criminal act in connection with any Federal housing program within the last three years, including the intentional misrepresentation of information related to their housing application or benefits derived from a misrepresentation;

Q.   Currently owes rent or other amounts to the CFHA or to another Housing Authority in connection with Section 8 or public housing assistance under the 1937 Act; or other federal housing programs as established by the HUD EIV National Repository, or other means. If under a payment agreement the prior debt must be paid in full prior to being issued a voucher. Once the applicant is pulled from the waiting list in order to establish eligibility, the debt must be paid within sixty (60) days of notification of the debt and may be by-passed on the waiting list. Failure to repay the debt in full within sixty (60) days will result in denial and removal from the waiting list;

R.   Have not reimbursed any Housing Authority for amounts paid to an owner under a HAP contract for rent, damages to the unit, or other amounts owed by the family under the lease;

S.   Have engaged in or threatened abusive or violent behavior towards any CFHA staff member or resident;

T.   If a welfare-to-work (WTW) family fails, willfully and persistently, to fulfill its obligations under the welfare-to-work voucher program.

If the CFHA denies admission to the CFHA's Housing Choice Voucher program on the basis of a criminal record, the CFHA will notify in writing and provide the family with an opportunity to request an informal review of the decision to deny admission. The CFHA will ensure the applicant head of household and if applicable, the family member with the criminal record, have an opportunity to dispute the accuracy and relevance of the record. The applicant will have 14 calendar days to dispute the accuracy and relevance of the record in writing, from the date of notice to deny admission. If the CFHA does not receive the dispute within the allotted time, the applicant will be denied and removed from the waiting list.

The fact that an applicant is or has been a victim of domestic violence, dating violence, or stalking is not an appropriate basis for denial of program assistance or for denial of admission, if the applicant otherwise qualifies for assistance or admission. The Authority will require verification in all cases where an applicant claims protection against an action proposed to be taken by the Authority involving such individual. Types of acceptable verifications are outlined in Section 17.2 of

this Section 8 Administrative Plan, and must be submitted within 14 business days after receipt of the Housing Authority's written request for verification.

4.9   NOTIFICATION OF NEGATIVE ACTIONS

Any applicant whose name is being removed from the waiting list will be notified by the CFHA, in writing, that they have ten (10) business days, from the date of the written correspondence, to present mitigating circumstances or request in writing for an informal review. The letter will also indicate that their name will be removed from the waiting list if they fail to respond within the timeframe specified.

The CFHA's system of removing applicants' names from the waiting list will not violate the rights of persons with disabilities. If an applicant's failure to respond to a request for information or updates was caused by the applicant's disability, the CFHA will provide a reasonable accommodation. If the applicant indicates that they did not respond due to a disability, the CFHA will verify that there is in fact a disability and that the accommodation they are requesting is necessary based on the disability. An example of a reasonable accommodation would be to reinstate the applicant on the waiting list based on the date and time of the original application.

4.10   INFORMAL REVIEW

If the CFHA determines that an applicant does not meet the criteria for receiving Section 8 assistance, the CFHA will promptly provide the applicant with written notice of the determination. The notice must contain a brief statement of the reason(s) for the decision, and state that the applicant may request an informal review of the decision within 10 business days of the denial. The CFHA will describe how to obtain the informal review. The informal review process is described in Section 16.2 of this Plan.

5.0   SELECTING FAMILIES FROM THE WAITING LIST

5.1   WAITING LIST ADMISSIONS AND SPECIAL ADMISSIONS

The Housing Authority may admit an applicant for participation in the program either as a special admission or as a waiting list admission.

Applicants admitted under special admissions are by referral rather than from the waiting list. As such, they are identified by codes in the automated system and are not maintained on separate waiting lists.

If HUD awards funding that is targeted for families with specific characteristics or families living in specific units, the CFHA will use the assistance for those families. If this occurs, the CFHA will maintain records demonstrating that these targeted housing choice vouchers were used appropriately. When one of these targeted vouchers turns over, the voucher shall be issued to applicants with the same specific characteristic as the targeted program describes.

5.2 PREFERENCES

Consistent with the CFHA Agency Plan, the CFHA will select families based on the following preferences based on local housing needs and priorities. They are consistent with the CFHA's Agency Plan and the Consolidated Plan that covers our jurisdiction.

A. First Preference – Applicants will be accepted from both residents and non-residents.

B. Second Preference – HOMELESS FAMILY: The CFHA has a limited number of voucher assistance (four Vouchers) and this form of assistance is offered based on availability. An applicant family qualifies for the homeless family preference based on the following criteria:

(a)   (1) an individual or family who lacks a fixed, regular, and adequate nighttime residence;

(2) an individual or family with a primary nighttime residence that is a public or private place not designed for or ordinarily used as a regular sleeping accommodation for human beings, including a car, park, abandoned building, bus or train station, airport, or camping ground;

(3) an individual or family living in a supervised publicly or privately operated shelter designated to provide temporary living arrangements (including hotels and motels paid for by Federal, State, or local government programs for low-income individuals or by charitable organizations, congregate shelters and transitional housing);

(4) an individual who resided in a shelter or place no meant for human habitation and who is exiting an institution where he or she temporarily resided;

(5) an individual or family who--

(A) will imminently lose their housing, including housing they own, rent, or live in without paying rent, are sharing with others, and rooms in hotels or motels not paid for by Federal, State, or local government programs for low-income individuals or by charitable organizations or evidence by:

(i)   a court order resulting from an eviction action that notifies the individual or family that they must leave within fourteen (14) days;

(ii)   the individual or family having a primary nighttime residence that is a room in a hotel or motel and where they lack the resources necessary to reside there for more than fourteen (14) days; or

(iii)   credible evidence indicating that the owner or renter of the housing will not allow the individual or family to stay for more than fourteen (14) days, and any oral statement from an individual or family seeking homeless assistance that is found to be credible shall be considered credible evidence for purpose of this clause;

(B) has no subsequent residence identified; and

(C) lacks the resources or support networks needed to obtain other permanent housing: and

(6) unaccompanied youth and homeless families with children and youth defined as homeless under other Federal statutes who—

(A) have experienced a long term period without living independently in permanent housing,

(B) have experienced persistent instability as measured by frequent moves over such period and

(C) can be expected to continue in such status for an extended period of time because of chronic disabilities, chronic physical health or mental conditions, substance addiction, histories of domestic violence or childhood abuse, the presence of a child or youth with a disability, or multiple barriers to employment.

(b)   Domestic Violence and Other Dangerous or Life-Threatening Conditions – Notwithstanding any other provisions of this section, the Secretary shall consider to be homeless any individual or family who is fleeing, or is attempting to flee, domestic violence, dating violence, sexual assault, stalking, or other dangerous or life-threatening conditions in the individual's or family's current housing situation, including where the health and safety of

children are jeopardized, and who have no other residence and lack the resources or support networks to obtain other permanent housing.

A "homeless family" does not include any individual imprisoned or otherwise detained pursuant to an Act of the Congress or State Law.

The CFHA will not deny a local preference, nor otherwise exclude or penalize a family in admission to the program, solely because the family resides in public housing.

5.2.1   HOUSING FOR KATRINA VICTIMS

In the case of a federally declared disaster, the CFHA reserves the right for its Executive Director to suspend its preference system with whatever duration the Executive Director feels is appropriate and to admit victims of the disaster to the program instead of those who would be normally admitted. Any other provisions of this policy can also be suspended during the emergency at the discretion of the Executive Director so long as such suspension does not violate a law. If regulatory waivers are necessary, they shall be promptly requested of the HUD Assistant Secretary for Public and Indian Housing

5.3   SELECTION FROM THE WAITING LIST

The date and time of application will be utilized to determine the sequence within the above-prescribed preferences.

Not withstanding the above, if necessary to meet the statutory requirement that 75% of newly admitted families in any fiscal year be families who are extremely low-income (unless a different target is agreed to by HUD), the CFHA retains the right to skip higher income families on the waiting to reach extremely low-income families. This measure will only be taken if it appears the goal will not otherwise be met. To ensure this goal is met, the Housing Authority will monitor incomes of newly admitted families and the income of the families on the waiting list.

If there are not enough extremely low-income families on the waiting list, we will conduct outreach on a non-discriminatory basis to attract extremely low-income families to reach the statutory requirement.

Newly admitted families to the Section 8 housing program who are also active applicants on the Conventional waiting list will be notified in writing of the removal from the Conventional waiting list and will be given the opportunity to request an informal review. The notice will state that they will

Eligibility for HOPWA

1. The applicant must be diagnosed with Acquired Immunodeficiency Syndrome or related diseases as determined by a health professional competent to make such a determination.

2. The applicant must meet the income guidelines of the housing project for which applied.

Eligibility for Continuum of Care Transitional Housing

1. The applicant must meet HUD's definition of homelessness (see Attachment 2: "HUD Definition of Homeless") or access https://www.onecpd.info/resources/documents/HomelessDefinition_RecordkeepingRequirementsandCriteria.pdf to qualify for Continuum of Care Transitional Housing.

B. Coordinated Entry and Priority Policies

1. The BOSCOC, in implementing Coordinated Entry strategies, require that all HMIS providers will utilize all appropriate SPDAT assessments to determine housing appropriate rankings. These rankings will be used to assist in making referrals and assessing eligibility for the most client appropriate projects within the Continuum of Care, which includes case conferencing. The SPDATs are available in ServicePoint and must be used by all providers implementing Coordinated Entry. (See Attachment 3.1: "VI-SPDAT Scoring Recommendations".)

2. Per HUD Notice CPD-16-011, issued July 2016, priority will be given to those individuals and families who meet the HUD definition of "chronic homeless". If there is availability in a project and there is not an eligible household that meets the definition of chronic homeless, then the order of priority will be as delineated in the CPD notice in Section III.B.

   • First Priority - Homeless Individuals and Families with a Disability with Long Periods of Episodic Homelessness and Severe Service Needs.

   • Second Priority - Homeless Individuals and Families with a Disability with Severe Service Needs.

   • Third Priority - Homeless Individuals and Families with a Disability Coming from Places Not Meant for Human Habitation, Safe Haven, or Emergency Shelter Without Severe Service Needs.

   • Fourth Priority - Homeless Individuals and Families with a Disability Coming from Transitional Housing.

   Tie breakers:
   ✓ Chronic
   ✓ Veterans
   ✓ Family (with dependents)

✓ Female
✓ Currently unsheltered

C. Documentation of Eligibility

1. Sub-recipients are responsible for verifying eligibility.   HUD's regulations redefining homelessness has created specific requirements for documenting the homelessness status of applicants.   Eligible applicants must also be income eligible for the permanent supportive housing programs, which is fifty percent (50%) or below of AMI.   Eligible applicants must also have a disability. (See Chapter 1, Section J: Terminology).   When determining eligibility, sub-recipient staff should be vigilant to document eligibility rather than rely on verbal communication with participant.   All documentation shall be kept on file by the sub-recipient for each household participating in the project.

Requirements for Documenting Homelessness

For an individual or family sleeping in a place not designed for or used as a regular sleeping accommodation, including a car, park, abandoned building, bus or train station, airport, campground, etc.:	A signed and dated statement from agency staff/outreach worker or another identified third party, which state the applicant's recent whereabouts describing in as much detail as possible location, dates and descriptions of places not meant for human habitation that individual(s) have slept. Must be on agency letterhead. As a last resort, self-certification is allowed.
For an individual or family living in a supervised publicly or privately operated shelter designated to provide temporary living arrangements including but not limited to emergency shelter, congregate shelters, hotels and motels paid for by charitable organizations or by government programs:	A letter from the shelter facility verifying the date(s) of entry and/or exit and that the applicant(s) currently resides there or a printout from the Homeless Management Information System (HMIS) showing recorded shelter stays. In addition, a written observation by the case manager or homeless outreach worker verifying that the applicant(s) is/are homeless. This document must be on agency letterhead and must be signed and dated by the author.
For an individual or family living in a transitional housing project:	A letter from the transitional project verifying the date of entry and current residence, and documentation that the applicant(s) was either in an emergency shelter or in a place not meant for human habitation immediately prior to entering the transitional project. This can consist of a letter from a shelter, on letterhead, an HMIS printout or if

FY2016 - Performance Measurement Module (Sys PM)

Summary Report for AZ-500 - Arizona Balance of State CoC

Measure 1: Length of Time Persons Remain Homeless

This measures the number of clients active in the report date range across ES, SH (Metric 1.1) and then ES, SH and TH (Metric 1.2) along with their average and median length of time homeless. This includes time homeless during the report date range as well as prior to the report start date, going back no further than October, 1, 2012.

Metric 1.1: Change in the average and median length of time persons are homeless in ES and SH projects.
Metric 1.2: Change in the average and median length of time persons are homeless in ES, SH, and TH projects.

a. This measure is of the client's entry, exit, and bed night dates strictly as entered in the HMIS system.

	Universe (Persons)		Average LOT Homeless (bed nights)			Median LOT Homeless (bed nights)		
	Previous FY	Current FY	Previous FY	Current FY	Difference	Previous FY	Current FY	Difference
1.1 Persons in ES and SH	3089	3126	74	63	-11	22	19	-3
1.2 Persons in ES, SH, and TH	3529	3530	106	91	-15	29	25	-4

b. Due to changes in DS Element 3.17, metrics for measure (b) will not be reported in 2016.

This measure includes data from each client's "Length of Time on Street, in an Emergency Shelter, or Safe Haven" (Data Standards element 3.17) response and prepends this answer to the client's entry date effectively extending the client's entry date backward in time. This "adjusted entry date" is then used in the calculations just as if it were the client's actual entry date.

NOTE: Due to the data collection period for this year's submission, the calculations for this metric are based on the data element 3.17 that was active in HMIS from 10/1/2015 to 9/30/2016. This measure and the calculation in the SPM specifications will be updated to reflect data element 3.917 in time for next year's submission.

	Universe (Persons)		Average LOT Homeless (bed nights)			Median LOT Homeless (bed nights)		
	Previous FY	Current FY	Previous FY	Current FY	Difference	Previous FY	Current FY	Difference
1.1 Persons in ES and SH	-	3126	-	144	-	-	31	-
1.2 Persons in ES, SH, and TH	-	3521	-	170	-	-	44	-

FY2016 - Performance Measurement Module (Sys PM)

Measure 2: The Extent to which Persons who Exit Homelessness to Permanent Housing Destinations Return to Homelessness

This measures clients who exited SO, ES, TH, SH or PH to a permanent housing destination in the date range two years prior to the report date range. Of those clients, the measure reports on how many of them returned to homelessness as indicated in the HMIS for up to two years after their initial exit.

	Total # of Persons who Exited to a Permanent Housing Destination (2 Years Prior)	Returns to Homelessness in Less than 6 Months (0 - 180 days)		Returns to Homelessness from 6 to 12 Months (181 - 365 days)		Returns to Homelessness from 13 to 24 Months (366 - 730 days)		Number of Returns in 2 Years	
		# of Returns	% of Returns	# of Returns	% of Returns	# of Returns	% of Returns	# of Returns	% of Returns
Exit was from SO	55	2	4%	3	5%	5	9%	10	18%
Exit was from ES	706	98	14%	26	4%	40	6%	164	23%
Exit was from TH	182	11	6%	8	4%	5	3%	24	13%
Exit was from SH	0	0		0		0		0	
Exit was from PH	245	7	3%	3	1%	10	4%	20	8%
TOTAL Returns to Homelessness	1188	118	10%	40	3%	60	5%	218	18%

FY2016 - Performance Measurement Module (Sys PM)

Measure 3: Number of Homeless Persons

Metric 3.1 – Change in PIT Counts

This measures the change in PIT counts of sheltered and unsheltered homeless person as reported on the PIT (not from HMIS).

	2015 PIT Count	Most Recent PIT Count	Difference
Universe: Total PIT Count of sheltered and unsheltered persons	2402	2240	-162
Emergency Shelter Total	851	771	-80
Safe Haven Total	0	0	0
Transitional Housing Total	246	252	6
Total Sheltered Count	1097	1023	-74
Unsheltered Count	1305	1217	-88

Metric 3.2 – Change in Annual Counts

This measures the change in annual counts of sheltered homeless persons in HMIS.

	Submitted FY 2015	Current FY	Difference
Universe: Unduplicated Total sheltered homeless persons	3596	3651	55
Emergency Shelter Total	3134	3231	97
Safe Haven Total	0	0	0
Transitional Housing Total	525	457	-68

Measure 4: Employment and Income Growth for Homeless Persons in CoC Program-funded Projects

Metric 4.1 – Change in earned income for adult system stayers during the reporting period

FY2016 - Performance Measurement Module (Sys PM)

	Submitted FY 2015	Current FY	Difference
Universe: Number of adults (system stayers)	339	340	1
Number of adults with increased earned income	23	16	-7
Percentage of adults who increased earned income	7%	5%	-2%

Metric 4.2 – Change in non-employment cash income for adult system stayers during the reporting period

	Submitted FY 2015	Current FY	Difference
Universe: Number of adults (system stayers)	339	340	1
Number of adults with increased non-employment cash income	91	38	-53
Percentage of adults who increased non-employment cash income	27%	11%	-16%

Metric 4.3 – Change in total income for adult system stayers during the reporting period

	Submitted FY 2015	Current FY	Difference
Universe: Number of adults (system stayers)	339	340	1
Number of adults with increased total income	112	54	-58
Percentage of adults who increased total income	33%	16%	-17%

Metric 4.4 – Change in earned income for adult system leavers

	Submitted FY 2015	Current FY	Difference
Universe: Number of adults who exited (system leavers)	243	301	58
Number of adults who exited with increased earned income	52	78	26
Percentage of adults who increased earned income	21%	26%	5%

Metric 4.5 – Change in non-employment cash income for adult system leavers

	Submitted FY 2015	Current FY	Difference
Universe: Number of adults who exited (system leavers)	243	301	58
Number of adults who exited with increased non-employment cash income	46	48	2
Percentage of adults who increased non-employment cash income	19%	16%	-3%

FY2016 - Performance Measurement Module (Sys PM)

Metric 4.6 – Change in total income for adult system leavers

	Submitted FY 2015	Current FY	Difference
Universe: Number of adults who exited (system leavers)	243	301	58
Number of adults who exited with increased total income	92	123	31
Percentage of adults who increased total income	38%	41%	3%

Measure 5: Number of persons who become homeless for the 1st time

Metric 5.1 – Change in the number of persons entering ES, SH, and TH projects with no prior enrollments in HMIS

	Submitted FY 2015	Current FY	Difference
Universe: Person with entries into ES, SH or TH during the reporting period.	3038	3222	184
Of persons above, count those who were in ES, SH, TH or any PH within 24 months prior to their entry during the reporting year.	711	870	159
Of persons above, count those who did not have entries in ES, SH, TH or PH in the previous 24 months. (i.e. Number of persons experiencing homelessness for the first time)	2327	2352	25

Metric 5.2 – Change in the number of persons entering ES, SH, TH, and PH projects with no prior enrollments in HMIS

	Submitted FY 2015	Current FY	Difference
Universe: Person with entries into ES, SH, TH or PH during the reporting period.	4277	4513	236
Of persons above, count those who were in ES, SH, TH or any PH within 24 months prior to their entry during the reporting year.	853	1082	229
Of persons above, count those who did not have entries in ES, SH, TH or PH in the previous 24 months. (i.e. Number of persons experiencing homelessness for the first time.)	3424	3431	7

FY2016 - Performance Measurement Module (Sys PM)

Measure 6: Homeless Prevention and Housing Placement of Persons defined by category 3 of HUD's Homeless Definition in CoC Program-funded Projects

This Measure is not applicable to CoCs in 2016.

FY2016 - Performance Measurement Module (Sys PM)

Measure 7: Successful Placement from Street Outreach and Successful Placement in or Retention of Permanent Housing

Metric 7a.1 – Change in exits to permanent housing destinations

	Submitted FY 2015	Current FY	Difference
Universe: Persons who exit Street Outreach	85	411	326
Of persons above, those who exited to temporary & some institutional destinations	9	38	29
Of the persons above, those who exited to permanent housing destinations	25	69	44
% Successful exits	40%	26%	-14%

Metric 7b.1 – Change in exits to permanent housing destinations

	Submitted FY 2015	Current FY	Difference
Universe: Persons in ES, SH, TH and PH-RRH who exited	3819	4024	205
Of the persons above, those who exited to permanent housing destinations	1491	1698	207
% Successful exits	39%	42%	3%

Metric 7b.2 – Change in exit to or retention of permanent housing

	Submitted FY 2015	Current FY	Difference
Universe: Persons in all PH projects except PH-RRH	825	942	117
Of persons above, those who remained in applicable PH projects and those who exited to permanent housing destinations	773	871	98
% Successful exits/retention	94%	92%	-2%

FY2016 - SysPM Data Quality

AZ-500 - Arizona Balance of State CoC

This is a new tab for FY 2016 submissions only. Submission must be performed manually (data cannot be uploaded). Data coverage and quality will allow HUD to better interpret your Sys PM submissions.

Your bed coverage data has been imported from the HIC module. The remainder of the data quality points should be pulled from data quality reports made available by your vendor according to the specifications provided in the HMIS Standard Reporting Terminology Glossary. You may need to run multiple reports into order to get data for each combination of year and project type.

You may enter a note about any field if you wish to provide an explanation about your data quality results. This is not required.

FY2016 - SysPM Data Quality

	All ES, SH				All TH				All PSH, OPH				All RRH				All Street Outreach			
	2012-2013	2013-2014	2014-2015	2015-2016	2012-2013	2013-2014	2014-2015	2015-2016	2012-2013	2013-2014	2014-2015	2015-2016	2012-2013	2013-2014	2014-2015	2015-2016	2012-2013	2013-2014	2014-2015	2015-2016
1. Number of non-DV Beds on HIC	530	577	572	483	494	343	234	252	626	870	1039	1220	3	34	380	486				
2. Number of HMIS Beds	417	371	480	367	400	313	233	196	470	519	681	641	3	33	317	486				
3. HMIS Participation Rate from HIC (%)	78.68	64.30	83.92	75.98	80.97	91.25	99.57	77.78	75.08	59.66	65.54	52.54	100.00	97.06	83.42	100.00				
4. Unduplicated Persons Served (HMIS)	2369	2963	3120	3231	523	524	506	516	738	857	865	988	152	461	1556	1626	19	3	30	140
5. Total Leavers (HMIS)	2345	2496	2789	2819	277	287	281	273	171	166	203	204	53	195	1109	1261	13	1	2	51
6. Destination of Don't Know, Refused, or Missing (HMIS)	573	1013	1511	1123	11	11	5	13	7	4	6	8	0	7	16	18	0	0	2	22
7. Destination Error Rate (%)	24.43	40.58	54.18	39.84	3.97	3.83	1.78	4.76	4.09	2.41	2.96	3.92	0.00	3.59	1.44	1.43	0.00	0.00	100.00	43.14