

**CoC NY-511  
FY23 CoC Program Competition  
Application Evaluation Process Instructions**



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## FY23 Evaluation Process

### I. Introduction

Each year, HUD releases a Notice of Funding Opportunity (NOFO) which details the requirements for applying for Continuum of Care (CoC) Program funding. One requirement of the NOFO is that each application is reviewed and ranked in order of local priority by a group of community stakeholders. In New York's Southern Tier, representing Broome, Chenango, Cortland, Delaware, Otsego, & Tioga Counties, the group of stakeholders is CoC NY-511's (NY-511) NOFO Committee. A Rating and Ranking Panel, appointed by NOFO Committee members, is tasked specifically with the CoC's evaluation process which partially determines each project's ranking. CARES of NY, Inc. serves as the facilitator of the Rating and Ranking Panel's evaluation process on behalf of the collaborative applicant.

In anticipation of the FY23 CoC Program Competition NOFO, NY-511 is issuing the following evaluation criteria to be used as part of the *Renewal Project Application* and *New Project Application* ranking process. To ensure that the CoC's application is competitive and fully funded, NY-511 reserves the right to amend these requirements and/or issue additional requirements as needed and in response to criteria issued in the FY23 CoC Program Competition NOFO.

### II. Highlights for the FY23 Evaluation Process

The 2023 Rank and Review Application process will occur in two (2) parts, with the intent to allow agencies adequate time to complete the full Rank and Review Application. *Completed applications (including required attachments) for each CoC project must be submitted to CARES of NY, Inc. by the stated deadline to be considered complete and sent to the Rating and Ranking Panel.*

#### Renewal Projects

The FY23 *Renewal Project* evaluation process will commence with the distribution of Parts 1 & 2 of the Rank and Review Tool, Evaluation Instructions, and data attachments on a date TBD.

The data source will consist of projects' most recent Annual Performance Report (APR), submitted in Sage prior to March 31, 2023 and provided by the HMIS Systems Administrator. FY23 Project Applications will be reviewed by Rating and Ranking Panel members for FY22 Renewal Projects not being ranked to allow for discussion regarding programmatic inquiries or projected changes.

#### Part 1

**Part 1** focuses on project and system outcomes, using project data entered in HMIS and objective questions to "rate" projects. The HMIS data used in Part 1 is from the previous HUD Fiscal Year (Oct 1 - Sep 30). This HMIS data used in Part 1 has been cleaned and reviewed for data quality errors when submitted to HUD for the Longitudinal Systems Analysis (LSA) report. HMIS Systems Administrator provides these reports to CARES, the Planning Lead, who subsequently develops the Part 1 Data Attachment. Data Attachments are distributed to agencies with the Part 1 Tool.

#### Part 2

**Part 2** includes narratives allowing agencies to explain unique circumstances which may affect project performance.

**Parts 1 & 2 of the Application must be submitted to CARES of NY, Inc. by the stated deadline to be considered complete; CARES will send all applications to the Rating and Ranking Panel.**

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\* Please Note: Coordinated Entry, Planning, and HMIS projects are not required to fill out a renewal application.

\*Renewal projects should have one federal fiscal year's worth of data (10/1-9/30) so should be in operation for one full federal fiscal year.

### New Projects

The FY23 *New Project* evaluation process will commence with the distribution of an RFP Application as well as 2023 Evaluation Instructions and NY-511's Written Standards at a date TBD. The project ranking process will be completed by Rating and Ranking Panel members' review of RFP responses and project performance data. If additional money becomes available through reallocation after the ranking process, a new project RFP will re-open. New project applications are required to interview with the Rating and Ranking Panel. Interview questions will include specific criteria included in the NOFO. New project applications will be ranked, approved by the Board, and presented to Membership. The community's goal is to apply for the maximum amount of available funds. The same appeals process that applies to Renewal applications applies to New/Bonus project applications.

- **New Project Interviews**

The final Part of the Rank & Review Process for New Projects includes interviews with the Rating and Ranking Panel. After release of the NOFO, the NOFO Committee will draft questions based on specific criteria included in the NOFO to be asked during new project interviews. New projects will receive these questions prior to the interview.

### Bonus Projects

Each year, HUD *may* offer bonus funding and the NOFO outlines how the funds may be spent. Bonus project proposals must fill an unmet need as noted within the CoC's Strategic Plan or locally determined priorities. Bonus applications will be ranked and approved by the Board and presented to Membership. The community's goal is to apply for the maximum amount of available funding. The same appeals process that applies to Renewal applications applies to New/Bonus project applications.

### Reallocation

Reallocation is the process by which the CoC shifts funds, in whole or in part, from existing eligible renewal grants to create new projects to fill an unmet need within the community, as noted within the Strategic Plan. Reallocation is one of the most important tools by which communities can make strategic improvements to their homeless services system.

Projects that can be flagged for reallocation consideration include those which have demonstrated inadequate financial management, a history of expending funds on ineligible activities, a lack of full expenditure of funds, and those which consistently score low on the Rank and Review. Reallocation is recommended for any project not participating in Coordinated Entry, HMIS or the annual Point-in-Time. The Board may determine reallocation of a particular project as in the best interest of the CoC and essential to maintaining full funding. Further, agencies may voluntarily choose to reallocate funds from their own projects. New project proposals developed by agencies through reallocation of their own funds will be prioritized during the ranking process. All other proposed projects using reallocated funds will be ranked according to general ranking procedures.

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Project proposals developed with reallocated funds must fill an unmet need and submit a New/Bonus application. Agencies interested in applying for reallocated funds are required to interview with the Rating and Ranking Panel. Applications for New/Bonus projects will be ranked separately from Renewal projects, and the final ranking will be approved by the Board presented to CoC Membership.

The goal of the evaluation is to demonstrate the effectiveness of CoC programming and help identify potential areas of improvement. Results from the evaluation will contribute to the CoC competitive application and identify lower performing programs that could benefit from Performance & Quality Improvement (PQI) technical assistance.

### III. Evaluation Review Process

All projects that have been operating for at least two years and have completed two full APRs will be considered eligible for the *Renewal Project* evaluation process. Projects that were not renewed in the FY22 NOFO do not have to complete the evaluation process. Any project that believes they should be exempt from the evaluation process should contact CARES at a **date TBD** to establish eligibility.

Only projects recommended or approved for *Reallocation* will be considered eligible to submit a *New Reallocated Project* application. The following outlines key steps and aspects of the FY22 *Renewal Project* and *New Project* evaluation processes:

#### I. RFP Applications and Back-up Documentation Submission

- RFP Applications and Back-up documentation for Renewal Projects being ranked are due to CARES by a **date TBD**. The Back-up Documentation data source will consist of a project's most recent APR, submitted in Sage prior to March 31, 2023 and provided by the HMIS Systems Administrator. RFP Applications shall be completed using data reflective of the data source.  
*Note: The same APR cannot be used for more than one year.*  
*Note: CoC & HMIS Monitoring reports will also be submitted for review as part of the Rating & Ranking Process.*
- RFP Applications and Back-up documentation for New Projects (*Reallocated and Bonus*) being ranked are due by a **date TBD**. The Back-up Documentation data source will be a copy of the agency's most recent audit and should be attached to the *New Project RFP* response.
- RFP Applications and Back-up documentation for New Projects (*DV Bonus*) are due in e-snaps by a **date TBD**.

#### II. RFP Evaluations by Rating and Ranking Panel Members

Rating and Ranking Panel members are considered by the NOFO Committee and invited by CARES to participate in the Rank and Review Process. Rating and Ranking Panel members must be individuals from the community who are not CoC-funded or from neighboring communities and knowledgeable about the CoC process, services, and providers. After panel members agree to participate, one to two days are scheduled to conduct project interviews and for scoring to take place. Interviews will be scheduled for a date after the NOFO is released to allow for any HUD-specific criteria to be incorporated into the interview process. Panel members are provided a copy of each project's full application for review and score forms to complete. After conducting interviews with each agency, the Rating and Ranking Panel discusses and finalizes scores for each project application. In the event project applications initially receive the same score, it is the responsibility of the Rating and Ranking Panel to break the tie. Because

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HMIS and CE projects are required CoC infrastructure, they are ranked at the top of Tier 1.

Results of the rating and ranking process will be posted to the CARES website. CARES will facilitate the Rating and Ranking Panel's review of New Project applications and back-up documentation utilizing the 2023 Project Rating and Ranking Tool. Eligible applicants submitting New Project applications to serve survivors of domestic violence, dating violence, sexual assault, or stalking that meet the definition of homeless in paragraph 4 of 24 CFR 578.3 will be invited to attend the Rating and Ranking Panel's review in person or via online teleconference in order to respond to inquiries from Panel members pursuant to their proposals and to address aspects of Housing First, confidentiality, HMIS/CES participation, performance measures that may differ from CoC benchmarks, etc. Results will be posted to the CARES website.

### Threshold Review

In order to ensure CoC projects are high performing, all project applications must also meet a minimum scoring threshold of 50% of total possible application points. The Threshold Review will be conducted by the Rating and Ranking Panel members after the Rank and Review process is complete and final project scores determined. If the pre-determined threshold is not met, the Rating and Ranking Panel may recommend the STHC Board consider the possibility of reallocation or amendments to the project application/s with said agency.

All agencies receive their project scores and are offered the opportunity to debrief with CARES. Debriefing allows agencies the opportunity to request clarification regarding how/why Application question/s received certain scores. Debriefings are required if agencies are considering an appeal. Agencies may choose to appeal project score/s within the allotted time frame (see the **Appeals Process** outlined below). After all debriefings with CARES are completed and appeals considered by the Rating and Ranking Panel, renewal project applicants that fall into Tier 2 will be notified and then the project ranking is presented to the Board for approval.

### Appeals Process

- **Who May Appeal?**  
An agency may appeal a decision concerning a Renewal or New/Bonus project application submitted by that agency.
- **What May Be Appealed?**  
The appeals process applies to project scoring and ranking **only**. *There is no appeal for project tiering.* An appeal may **not** be based on the following:
  - Failure to answer any question/s on the application.
  - Failure to submit required attachments to the application.
  - Failure to submit the application by the required deadline.
- **Any mathematical errors found by an applicant will be corrected by CARES.**
- **Timing of an Appeal**  
Formal appeals may be submitted by a project within **three (3) business days** of debriefing. Appeals must be submitted in writing to CARES ([hschmidhamer@caresny.org](mailto:hschmidhamer@caresny.org)), who will then forward to the impartial committee determined by the NOFO Committee. The written appeal must consist of a brief statement no longer than one page, and can be in the form of a letter, memo or email.
- **Appeals Decisions**  
Appeals will be considered by an impartial committee determined by the NOFO Committee. The impartial committee will communicate its final decision by **date TBD**. Appeals are decided by majority vote of the impartial committee, and once decided, are final and may not be overturned by the NOFO Committee, Board or Membership.

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**Results**

- Final *Renewal Project* evaluation results will be released by **Date TBD**; Final *New Project* evaluation results will be released by **Date TBD** (*New Projects*).
- Renewal Projects demonstrating low performance or that do not achieve the applicable housing outcome goal or other specific performance minimums established by the NOFO Committee/Rating and Ranking Panel will be subject to at least the PQI process, including possible submission of a PQI plan and ongoing review/monitoring and at most consideration for Reallocation per NY-511’s NOFO Reallocation Process.
- Evaluation results, in conjunction with the policy priorities and eligible components identified by HUD upon the issuance of the FY23 CoC Program Competition NOFO, will be used to determine the final project ranking and tier assignment, as applicable, for the FY23 CoC Program Competition CoC Priority Listing.

**IV. 2023 NY-511 CoC Evaluation Process Timeline**

*Subject to Change Based on Release of the NOFO*

<b>Activity</b>	<b>Deadline</b>
Discuss Recommended Changes to 2022 Evaluation Process	November/ December 2022
Approve 2023 Project Rating and Ranking Tool Parts 1 and 2 Combined – NOFO Committee	March 8 2023
Deadline to Notify CARES for Exempt Status Request	April 1 2023
Distribute 2022 Part 1 and Part 2 Ranking Tool and Attachments for Renewal Projects	May 8 2023
Submit RFP Applications and Back-up documentation	May 19 2023
Scoring and Debriefing of Parts 1 & 2 with funded agencies	TBD
Rating and Ranking Panel Review Parts 1 & 2	TBD
Communication of Preliminary Results/Reallocation Discussion – NOFO Committee	TBD
Appeals of Evaluation Results Due	TBD
CoC informed regarding NOFO Committee/Panel Recommendations	TBD
Distribute 2023 CoC Competition Materials for New Project Applications	TBD
Submit New Project (Reallocation & Bonus) RFP Applications to CoC Coordinator	TBD
Submit New Project (DV Bonus) Applications in e-snaps	TBD
Deadline to submit all Project Applications in e-snaps	TBD
Rating and Ranking Panel Review (New Projects)	TBD
Communication of Preliminary Rating and Ranking Results Discussion	TBD
Appeals of Evaluation Results Due	TBD
Final reviews & Project Ranking	TBD

**V. Project Evaluation Methodology**

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### Achievement

Performance data indicated in NY-511's Project Rating and Ranking Tool will be compared to achievement benchmarks and given a corresponding score. Unless otherwise indicated in the evaluation tool, a goal is "achieved" when the benchmark is met.

### Project Performance Results

Results will be based on the overall score as a percentage of the total possible points for each project (which varies by project type). The thresholds for inclusion in each category will be determined based on the final distribution of scores. Projects with scores resulting at the bottom 10% of all projects will be considered "low" performers. Projects with results in the top 10% will be considered "high" performers. The remaining projects will be considered "medium" performers.

Each performance measure is weighted differently based on the relative importance of the measure to the overall performance and quality of CoC housing and support services. The maximum point value is indicated alongside each measure in the Project Rating and Ranking Tool. Project scores are then calculated as a percentage of the total possible points for the project type. Projects performing below performance standards established by the NOFO will be referred to the PQI process, as described in the PQI protocols.

Identical overall *Renewal Project* scores will be decided through a review of the value achieved starting with the following indicators: Exits to Permanent Housing, Returns to Homelessness, Serving High Need Populations, and Income Factors. Programs with the same overall score will be weighed against each other on the individual measures listed above followed by the remaining Rating Factors on the evaluation tool. In the unlikely event that there is still a tie, the Rating and Ranking Panel will decide on a tie-breaking measure based on attendance at NOFO committee meetings.

### VI. Specific Instructions and Data Source – Renewal Projects

**Where the source is listed as APR**, the data source will consist of each project's most recent APR submitted in Sage prior to March 31, 2023 and provided by the HMIS Systems Administrator.

**Rating and Ranking Panel members will review the following APR Questions for Renewal Project submissions:**

**Exits to Permanent Housing:** Rating and Ranking Panel members will review APR Q22a1 (*Leavers*), Q23a, and Q23b.

**Returns to Homelessness:** Rating and Ranking Panel members will review APR/System Performance data Measure 2 by project.

**Earned Income for Project Stayers:** Rating and Ranking Panel members will review APR Q19a1 for all projects.

**Non-Employment Income for Project Stayers:** Rating and Ranking Panel members will review APR Q19a1 for all projects.

**Earned Income for Project Leavers:** Rating and Ranking Panel members will review APR Q19a2 for all projects.

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**Non-Employment Income for Project Leavers:** Rating and Ranking Panel members will review APR Q19a2 for all projects.

**More Than One Disability Type:** Rating and Ranking Panel members will review APR Q13a2 for all projects.

**Project Has Reasonable Costs:** Rating and Ranking Panel members will review APR Q3 (Contract/Award Amount) and Q23a/b for all projects in comparison to the average cost per positive housing exit for PSH, as determined by all projects.

**Housing First:** Rating and Ranking Panel members will review FY23 Renewal Project Application Q3d of 3B. Project Description for all projects.

**Applicant Narrative:** Rating and Ranking Panel members will review RFP response.

## VII. Score Summary Table

*(see NY-511 Southern Tier Homeless Coalition Rank & Review Application 2022 Part 1: System Performance and Data Quality Questions)*

### **Specific Instructions and Data Source – New Projects – To Be Determined**

**Financial Audit:** A copy of the applicant’s most recently completed audit must be attached to the *New Project RFP* response. Panel members will review for *no exceptions to standard practice*, “*low- risk*” identification, and *no findings indicated*.

### **Score Summary Table – New Projects – To Be Determined**

## VIII. Technical Assistance and Contact Information

For additional questions related to NY-511’s 2023 CoC Program Competition evaluation process, deadlines, and applications, please contact:

Aubrie Graves – CARES Planning Associate – [agraves@caresny.org](mailto:agraves@caresny.org); 518-489-4130 x 753

Jim Hulse – HMIS System Administrator – [jhulse@NY-511hmis.org](mailto:jhulse@NY-511hmis.org); 607-760-4914

If you have specific questions regarding HUD project guidelines, you may contact NY-511’s local HUD field office (Buffalo, NY). Please do not contact the HUD office regarding our local application deadlines or process as the individuals identified above are available to answer those questions.

**IX. 2023 NY-511 CoC Evaluation Process Appeal Form**

**This form must be completed and sent to CARES ([agraves@caresny.org](mailto:agraves@caresny.org)) by noon (12 pm) on DATE TBD (Renewal Projects) and/or DATE TBD (New Projects).**

How to Appeal: If you appeal your score, please write a few short sentences describing what you are appealing and attach evidence demonstrating why you think that the appeal should be granted. For example, if your appeal involves information from your data system, please submit a copy of the page from your data system.

**Name of Agency:** \_\_\_\_\_  
**Program Name:** \_\_\_\_\_  
**Program Address:** \_\_\_\_\_  
\_\_\_\_\_

**Part I**

Section and Question (Measurement and Source/Score) being appealed and why.

Section: \_\_\_\_\_ Question: \_\_\_\_\_

Explanation:

Section and Question (Measurement and Source/Score) being appealed and why.

Section: \_\_\_\_\_ Question: \_\_\_\_\_

Explanation:

Section and Question (Measurement and Source/Score) being appealed and why.

Section: \_\_\_\_\_ Question: \_\_\_\_\_

Explanation:

**Part II**

Executive Director /Other Executive Name: \_\_\_\_\_

**Signature:** \_\_\_\_\_ **Date:** \_\_\_\_\_