

Governance Policies

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INTRODUCTION

The Board of Trustees of the Community Shelter Board oversees the operations and governs the work of CSB by following a goal-oriented framework which measures the effectiveness of the organization. CSB follows the Carver model of board governance, developed by John Carver. More information about the Carver model for board governance can be found at www.carvergovernance.com.

Set forth below are CSB's Ends, Executive Limitations, Governance Process, and Board-Executive Linkage policies. At regularly scheduled Board meetings, the staff reports to the Board regarding the compliance with policies and achievement of results in the areas most critical to the organization's success: program outcomes; grants and contracts; treatment of partner agencies and funders; financial planning and budgeting; financial condition and activities; asset protection; treatment of staff; and compensation and benefits. The Board examines its governance policies and monitoring schedule annually.

These policies are subject to reasonable interpretation by staff for implementation and compliance. Methodology for the variables and outcomes described within the Ends policies has been developed by staff and defined within the CSB System & Program Indicator Reports located at www.csb.org.

CSB Ends¹ Policies

Level One: Ends Policy

People who experience homelessness or are at imminent risk of homelessness will have access to community and system resources to resolve their immediate housing crisis and will transition from homelessness to stability.

Level Two Topics

1. Access
2. Crisis Response
3. Transition
4. Advocacy

Level One Ends Policy

People who experience homelessness or are at imminent risk of homelessness will have access to community and system resources to resolve their immediate housing crisis and will transition from homelessness to stability.

¹ Ends Policies*

- < Describes not what the organization does, but what it is for.
- < The effect an organization seeks to have on the world outside itself.
- < What we want to cause to be different, at what cost.

Each ends policy should include:

1. **Results**—the impact, difference, change, benefit or outcome to be obtained in the lives of consumers or consumer-like populations.
2. **Recipients**—the identity, description or characteristics of the consumers or populations to receive the results.
3. **Cost**—the monetary expense, relative worth or relative priority of a result or set of results, or the comparative priority of certain recipients rather than others getting the results.

*Source: John Carver and Mariam Mayhew Carver, *Reinventing Your Board*, Jossey-Bass Publishers, San Francisco, 1997.

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Level Two Topics

ENDS1. Access

People who are at imminent risk of homelessness are linked to community resources.

Imminently homeless men, women and families will:

- < Have access to community resources and services as needed to maintain and stabilize housing; and
- < Not enter the emergency shelter system.

An increasing investment will be allocated for Access.

ENDS2. Crisis Response

People who experience homelessness receive assistance to address their immediate housing crisis.

Homeless men, women and families will:

- < Have access to resources to address their immediate housing need;
- < Have their basic human needs met in a decent, secure environment;
- < Stay in shelter for a short period; and
- < Not re-enter the emergency shelter system.

A decreasing investment will be allocated for Crisis Response.

ENDS3. Transition

People who experience homelessness transition from crisis to stability.

Homeless men, women and families will:

- < Have access to community and system resources and services to move to and stabilize housing;
- < Have their basic needs met in a non-congregate environment (individual, single room occupancy or shared unit); and
- < Not re-enter emergency shelter system.

An increasing investment will be allocated for Transition.

ENDS4. Advocacy

Resources and public policy support solutions to end homelessness.

Our community will provide:

- < Adequate funding raised/leveraged to support needs;
- < A public policy supportive of solutions to ending homelessness;
- < A general public educated and supportive of solutions to ending homelessness.

Sufficient investment will be allocated for Advocacy.

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ENDS1. Access

People who are at imminent risk of homelessness are linked to community resources.

Imminently homeless men, women and families will:

- < Have access to community resources and services as needed to maintain and stabilize housing; and
- < Not enter the emergency shelter system.

An increasing investment will be allocated for Access.

Level Three Allocation Policy to Achieve Access Ends

Homelessness Prevention

Ends	Measurement	Annual Metrics
Access to resources and services to maintain and stabilize housing	Successful housing outcome	At least 90% will maintain or obtain housing.
	If applicable, usage of CSB Direct Client Assistance	Average DCA will be consistent with program design.
Not enter the emergency shelter system	Recidivism	≤5% of those who have successful housing outcomes will enter shelter.
Efficient and effective use of a pool of community resources	Cost per household	Cost per household will be consistent with budget.
	Cost per successful housing outcome	Cost per successful housing outcome will be consistent with budget.
	Pass program certification	Provide access to and coordination with community resources and services to prevent homelessness.
	Average length of participation	Based on program design, not to exceed an average 120 days for Stable Families programs.

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Coordinated Point of Access for Single Adults and Families

Ends	Measurement	Annual Metrics
Access to resources to address immediate housing need	Successful diversion outcome	At least 25% of single adults and 35% of families contacting the coordinated point of access will be diverted to other community resources.
	Shelter Linkage	At least 90% of those referred for intake into an emergency shelter will enter shelter.
	Pass program certification	Provide access to and coordination with community resources and services to prevent homelessness.
Not re-enter the emergency shelter system	Diversion Recidivism	<10% of single adults and <5% of families diverted will enter shelter within 30 days of diversion.
Efficient and effective use of a pool of community resources	Pass program certification	Provide access to resources and services to end homelessness.

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ENDS2. Crisis Response

People who experience homelessness receive assistance to address their immediate housing crisis.

Homeless men, women and families will:

- < Have access to resources to address their immediate housing need;
- < Have their basic human needs met in a decent, secure environment;
- < Stay in shelter for a short period; and
- < Not re-enter the emergency shelter system.

A decreasing investment will be allocated for Crisis Response.

Level Three Allocation Policy to Achieve Crisis Response Ends

Emergency Shelter

Ends	Measurement	Annual Metrics
Access to resources to address immediate housing need	Successful housing outcomes	Obtain housing at standard below or greater if prior year achievement was greater: <ul style="list-style-type: none"> < At least 30% for adult shelters (except front door, safety and overflow shelter) < At least 70% for the family shelter
	Successful outcomes (front door and safety shelters only)	The percent of distinct clients who exit from the front door shelter to tier 2 shelters or other successful destinations. Not to exceed 60%. The percent of distinct clients who exit from the Maryhaven safety shelter to tier 2 shelters or other successful destinations will be at least 50%.
	Usage of CSB Direct Client Assistance (family shelters only)	% of households that receive CSB DCA will be consistent with prior performance and/or program design.
	Pass program certification	Provide access to and coordination with community resources and services to prevent homelessness and/or address immediate housing/sheltering needs.
Basic needs met in secure, decent environment	Pass program certification	Provide secure, decent shelter.

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Temporary, short-term stay	Average length of stay	Not to exceed standard below or average for prior year if less than standard below: < 7 days for adult front door shelter < 34 days for adult tier 2 shelters < 20 days for the family shelter < 12 days for safety shelter.
Not re-enter the emergency shelter system	Recidivism	≤5% of those who obtain housing will return to shelter.
	Movement (adult tier 2 shelters only)	<15% of those who exit the tier 2 emergency shelter will immediately re-enter another tier 2 shelter (monitored only).
Efficient and effective use of a pool of community resources	Cost per household	Cost per household will be consistent with budget.
	Cost per successful housing outcome	Cost per successful housing outcome will be consistent with budget.
	Pass program certification	Provide access to resources and services to end homelessness.

Outreach Specialist

Ends	Measurement	Annual Metrics
Access to resources to address immediate housing need	Usage of CSB Direct Client Assistance	At least 25% will receive CSB DCA.
Basic human needs met in secure, decent environment	Successful outcome	At least 75% successful housing/shelter outcomes.
	Successful housing outcome	At least 55% of successful outcomes obtain housing.
Do not re-enter the emergency shelter system	Recidivism	≤5% of those who obtain housing will return to shelter.
Efficient and effective use of a pool of community resources	Cost per household	Cost per household will be consistent with budget.
	Cost per successful housing outcome	Cost per successful housing outcome will be consistent with budget.
	Pass program certification	Provide access to resources and services to address immediate housing need.

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ENDS3. Transition

People who experience homelessness transition from crisis to stability.

Homeless men, women and families will:

- < Have access to community and system resources and services to move to and stabilize housing;
- < Have their basic needs met in a non-congregate environment (individual, single room occupancy or shared unit); and
- < Not re-enter emergency shelter system.

An increasing investment will be allocated for Transition.

Level Three Allocation Policy to Achieve Transition Ends

Direct Housing/Rapid Re-housing/Rolling Stock/Kinship Care/Navigator Program

Ends	Measurement	Annual Metrics
Efficient number of households served	New Households Served (Navigator program only)	Set based on program design and funds available. Reflects the % of the sheltered single adult population served by the Navigator program. Not to exceed 60%.
Access to resources/services to move to and stabilize housing	Usage of CSB Direct Client assistance	Average DCA amount will be consistent with prior performance and/or program design.
	Average length of shelter stay	Average stay at emergency shelter not to exceed: <ul style="list-style-type: none"> • 15 days for families • 2 days for Kinship Care • 27 days for single adults (calculated from the date of program entry to shelter exit).
	Average Engagement Time (Navigator program only)	Average stay at emergency shelter not to exceed 7 days from the date of shelter entry to Navigator engagement.
	Housing Affordability at Exit (family programs only)	At least 50% of successful households have their housing affordability ratio, measured as cost of housing (rent and utilities) divided by the household's income at exit, lower than 50%.

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Ends	Measurement	Annual Metrics
Basic needs met in a non-congregate environment	Successful housing outcomes	At least 90% successful housing outcomes for families and 30% for single adults.
	Successful outcome (Kinship Care only)	70% of households are stable in their housing environment.
Not re-enter the emergency shelter system	Recidivism	≤5% of those who obtain housing will return to shelter.
	Movement (Navigator program only)	<15% of clients served who exit the emergency shelter will immediately re-enter another shelter (monitored only).
	Average Number of Service Instances (Navigator program only)	Average number of shelter stays per distinct clients served within 12 months. Not to exceed 2.5.
Efficient and effective use of a pool of community resources	Cost per household	Cost per household will be consistent with budget.
	Cost per successful housing outcome	Cost per successful housing outcome will be consistent with budget.
	Pass program certification	Provide resources and services to end homelessness.

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Permanent Supportive Housing²

Ends	Measurement	Annual Metrics
Access to resources/services to move to and stabilize housing	Housing Stability	At least twelve months (goal to be set not to exceed 24 months, actual attainment may be greater than goal).
	Housing Affordability at Exit	At least 50% of successful households have their housing affordability ratio, measured as cost of housing (rent and utilities) divided by the household's income at exit, lower than 50%.
	Increase in income from employment, from entry to exit*	At least 20% of adults exiting will have increased employment income from entry to exit.
	Increase in income, other than employment, from entry to exit *	At least 54% of adults exiting will increase income from other sources than employment from entry to exit.
	Receipt of mainstream benefits at exit*	At least 90% of adults exiting will have mainstream benefits.
Basic needs met in a non-congregate environment	Successful housing outcomes	At least 90% successful housing outcomes.
Not re-enter the emergency shelter system	Exit to Homelessness	≤5% of those who obtain housing will return to shelter.
Efficient and effective use of a pool of community resources	Cost per household	Cost per household will be consistent with budget.
	Cost per successful housing outcome	Cost per successful housing outcome will be consistent with budget.
	Program Occupancy Rate	Full occupancy (>95%).
	Pass program certification	Provide access to resources and services to end homelessness.

* Fixed minimum threshold – no allowable variance as HUD benchmark is fixed. Metric per HUD 2013 performance standards.

² All HUD and local Continuum of Care required outcomes that are not included in CSB's Ends will be monitored and must be met by all permanent supportive housing providers that receive HUD funding.

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Increase Access to Benefits and Income

Ends	Measurement	Annual Metrics
Access to resources and services to move to and stabilize housing	Submitted SSI/SSDI Applications	The number of SSI/SSDI applications submitted will be consistent with program design. At least 42% of the households served will have their SSI/SSDI applications submitted.
	Other Submitted Applications	The number of other benefits applications submitted will be consistent with program design. At least 20% of the households served will have their other benefits applications submitted.
	Successful Applications	At least 40% of the submitted SSI/SSDI applications have a favorable resolution.
Not re-enter the emergency shelter system	Recidivism	≤5% of those who have successful applications will return to shelter.
Efficient and effective use of a pool of community resources	Cost per household	Cost per household will be consistent with budget.
	Cost per successful applicant	Cost per successful applicant will be consistent with budget.
	Pass program certification	Provide resources and services to end homelessness.

Transition Program – Direct Client Assistance

Ends	Measurement	Annual Metrics
Basic needs met in a non-congregate environment	Successful Housing Outcomes	At least 98% successful housing outcomes.
Not re-enter the emergency shelter system	Recidivism	≤5% of those who obtain housing will return to shelter.
Efficient and effective use of a pool of community resources	Cost per household	Cost per household will be consistent with budget.
	Cost per successful housing outcome	Cost per successful housing outcome will be consistent with budget.
	Pass program certification	Provide access to resources and services to end homelessness.

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ENDS4. Advocacy

Resources and public policy support solutions to end homelessness.

Our community will provide:

- < Adequate funding raised/leveraged to support needs;
- < A public policy supportive of solutions to ending homelessness;
- < A general public educated and supportive of solutions to ending homelessness.

Sufficient investment will be allocated for Advocacy.

Level Three Allocation Policy to Achieve Advocacy Ends

Ends	Measurement
Funding raised/leveraged adequate to support needs.	Increasing funds are raised.
Public policy environment supportive of solutions to ending homelessness.	Public officials and community leaders will have reasonable acquaintance with issues affecting people who are homeless and solutions to homelessness.
General public educated and supportive of solutions to ending homelessness.	Community members will have reasonable acquaintance with issues affecting people who are homeless.

Advocacy will be conducted in a manner consistent with the agency's 501(c) 3 status.

Outline of Executive Limitations³ Policies

Level One: Executive Limitations Policy

The Executive Director shall not cause or allow any practice, activity, decision or organizational circumstance that is either unlawful, imprudent, discriminatory, or in violation of board policies and commonly accepted business and professional ethics.

Level Two Topics

1. Communication and support to the board
2. Ends focus of grants and contracts
3. Treatment of partner agencies and funders
4. Financial planning and budgeting
5. Financial condition and activities
6. Asset protection
7. Treatment of staff
8. Compensation and benefits
9. Emergency Executive Director succession

³ Executive Limitations Policies*

- < Boundary Setters: Board's way of telling the Executive Director the limitations of acceptability regarding staff means (methods, situations, circumstances and practices).
- < Establish the conditions for *pre-approval* of any staff decisions.
- < *Negatively* worded.
- < Addressed to the Executive Director, not to the entire staff.
- < Level of specificity: Board needs to ask what reasonable interpretation by the Executive Director they can live with.
- < Take for granted that monitoring and evaluation will be done acceptably.

*Source: John Carver and Mariam Mayhew Carver, *Reinventing Your Board*, Jossey-Bass Publishers, San Francisco, 1997.

**Community Shelter Board
Executive Limitations Policies**

Executive Limitations Policy

The Executive Director shall not cause or allow any practice, activity, decision or organizational circumstance that is either unlawful, imprudent, discriminatory, or in violation of board policies and commonly accepted business and professional ethics.

Level Two Policies

EL1. Communication and Support to the Board

The Executive Director shall not permit the board to be uninformed or unsupported in its work.

EL2. Ends Focus of Grants or Contracts

The Executive Director may not enter into any grant or contract arrangements that fail to emphasize primarily the production of Ends, and secondarily, the avoidance of unacceptable means.

EL3. Treatment of Partner Agencies & Funders

With respect to the treatment of partner agencies and funders, the Executive Director may not: 1) cause or allow conditions that are disrespectful or unfair, and 2) fail to create an environment conducive to regular, constructive dialogue and information exchange in order to further the determination and achievement of Ends.

EL4. Financial Planning and Budgeting

Financial planning for any fiscal year or portion thereof shall not deviate materially from the board's Ends priorities, risk fiscal jeopardy, or fail to be derived from a multi-year plan.

EL5. Financial Condition and Activities

With respect to the actual, ongoing financial conditions and activities, the Executive Director shall not cause or allow the organization to be at fiscal risk or to experience a material deviation of actual expenditures from the budget.

EL6. Asset Protection

The Executive Director shall not allow the assets to be unprotected, inadequately maintained or unnecessarily risked.

EL7. Treatment of Staff

With respect to the treatment of paid and volunteer staff, the Executive Director may not cause or allow conditions that are unfair or disrespectful.

EL8. Compensation and Benefits

With respect to employment, compensation and benefits to employees, consultants, contract workers and volunteers, the Executive Director shall not cause or allow jeopardy to fiscal integrity or public image.

EL9. Emergency Executive Director Succession

In order to protect the board from sudden loss of Executive Director services, the Executive Director may have no fewer than one other executive familiar with board and Executive Director issues and processes.

EL1. Communication and Support to the Board

The Executive Director shall not permit the board to be uninformed or unsupported in its work.

Level Three Policies

The Executive Director shall not:

- a) Neglect to submit monitoring data required by the board (see policy on Monitoring Executive Performance) in a timely, accurate, and understandable fashion, directly addressing provisions of board policies being monitored.
- b) Let the board be unaware of relevant trends, anticipated adverse media coverage, and material external and internal changes, particularly changes in the assumptions upon which any board policy has previously been established.
- c) Fail to advise the board if, in the Executive Director's opinion, the board is not in compliance with its own policies on Governance Process and Board-Executive Director Linkage, particularly in the case of board behavior that is detrimental to the work relationship between the board and the Executive Director.
- d) Fail to marshal for the board as many staff and external points of view, issues, and options as needed for fully informed board choices.
- e) Fail to provide a mechanism for official board, officer, or committee communications.
- f) Fail to report in a timely manner an actual or anticipated non-compliance with any policy of the board.
- g) Fail to supply for the consent agenda all items delegated to the Executive Director, yet required by law or contract to be board-approved, along with the monitoring assurance pertaining thereto.

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EL2. Ends Focus of Grants or Contracts

The Executive Director may not enter into any grant or contract arrangements that fail to emphasize primarily the production of Ends, and secondarily, the avoidance of unacceptable means.

Level Three Policies

a) Ends Focus of Grants or Contracts Between CSB and Partner Agencies

The Executive Director shall not:

- i. Fail to prohibit particular methods and activities to preclude grant funds from being used in imprudent, unlawful, or unethical ways.
- ii. Fail to assess and consider an applicant's capability to produce appropriately targeted, efficient results.
- iii. Fail to seek board approval of funding awards that are greater than \$30,000 prior to entry into the grant agreement.
- iv. Fail to notify the CSB Board in a timely manner when partner agency annual organizational indicators reflect significant negative trends.
- v. Fail to prohibit conditions, procedures or decisions with respect to treatment of beneficiaries of program services that are unsafe, undignified, and unnecessarily intrusive or that fail to provide appropriate confidentiality or privacy.
- vi. Fail to develop annual plans that include specific measurable outcomes that will result from grants or contracts with partner agencies to achieve the organization's Ends policies, and to monitor the progress of partner agencies in achieving these outcomes.
- vii. Fail to propose changes to the organization's Ends Policies that will set minimum or baseline annual metrics (performance standards) based on historical trends and continuous improvement standards, at least every two years.

b) Ends Focus of Grants or Contracts Between CSB and Funders

The Executive Director shall not:

- i. Fail to prohibit particular methods and activities to preclude grant funds from being used in imprudent, unlawful, or unethical ways.
- ii. Fail to assess and consider CSB's capability to produce appropriately targeted, efficient results.

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EL3. Treatment of Partner Agencies & Funders

With respect to the treatment of partner agencies and funders, the Executive Director may not: 1) cause or allow conditions that are disrespectful or unfair, and 2) fail to create an environment conducive to regular, constructive dialogue and information exchange in order to further the determination and achievement of ends.

EL4. Financial Planning and Budgeting

Budgeting for any fiscal year or portion thereof shall not deviate materially from the board's Ends priorities or risk fiscal jeopardy. Financial planning shall not fail to be derived from a multi-year (at least 3-year) plan.

Level Three Policies

The Executive Director shall not allow financial planning that:

- a) Fails to include a multi-year (at least three year) budget and an annual operating budget.
- b) Contains too little information to enable credible projection of sources and expenses, separation of capital and operational items, projection of cash flow, and disclosure of planning assumptions.
- c) Fails to incorporate annually updated programmatic and agency priorities and initiatives.
 - i. Fails to consider appropriate staffing levels based on programmatic and agency priorities and initiatives.
 - ii. Fails to consider the organization's strategic plan.
- d) Fails to consider new or improved methods of operation to minimize costs and maximize the value received for the funds utilized.
- e) Fails to incorporate plans to capture new sources and/or augment current sources of revenue to arrive at a level of funding that is reasonably attainable.
- f) Fails to consider investment projections and needs necessary to carry out priorities and initiatives.
- g) Fails to include outside financial expertise on investments and planning.
- h) Is not annually updated not less than 30 days prior to the beginning of each new fiscal year.

The Executive Director shall not allow annual budgeting that:

- i) Contains too little information to enable credible projection of sources and expenses, separation of capital and operational items, projection of cash flow, and disclosure of planning assumptions.
- j) Plans the expenditure in any fiscal year of more funds than are conservatively projected to be available in that period.
- k) Fails to reserve 5% of expenses annually for unexpected needs and contingencies, unless otherwise specified by the Board of Trustees.
- l) Fails to maintain a 45-day Reserve Fund (calculated based on 1/8th of budgeted annual operating revenue, excluding one-time revenue for non-renewable projects and pass-through government funds).

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- m) Provides less for board prerogatives during the year than is set forth in the Cost of Governance policy.
- n) Is not annually updated not less than 30 days prior to the beginning of each new fiscal year.
- o) Fails to incorporate information from the multi-year financial plan.
- p) Is not approved by the Board.

EL5. Financial Condition and Activities

With respect to the actual, ongoing financial conditions and activities, the Executive Director shall not cause or allow the organization to be at fiscal risk or to experience a material negative deviation of actual expenditures from the annual budget or to experience a material negative deviation of actual sources of funds without an appropriate reduction of expenses.

Level Three Policies

The Executive Director shall not permit the organization to:

- a) Operate without written fiscal policies that clarify rules and procedures for handling of the organization's finances and that describe the code of conduct, fraud policy, internal control structure, financial reporting, procurement procedures, non-profit status, travel policy and 401k retirement plan.
- b) Operate outside Generally Accepted Accounting Principles and applicable government standards.
- c) Expend more operating funds than have been earned to date.
- d) Fail to seek board approval of partner agency funding advances requiring a repayment agreement.
- e) Use restricted funds for other than the specified use stipulated by the funder or donor.
- f) Fail to settle liabilities or pay expenses in a timely manner.
- g) Allow tax payments or other government-ordered payments or filings to be overdue or inaccurately filed.
 - i. Fail to obtain board approval of the audit.
 - ii. Fail to obtain board review of the IRS Form 990 prior to filing.
 - iii. Fail to file IRS Form 990 on time.
- h) Make a single purchase or commitment of greater than \$30,000 that was not part of the operating budget.
- i) Fail to seek board approval of any use of the 45-day Reserve Fund prior to incurring any costs.
- j) Acquire, encumber or dispose of real property without board approval.
- k) Fail to aggressively pursue receivables after a reasonable grace period.
- l) Fail to issue financial statements no later than 30 days after the close of each quarter.
- m) Fail to complete the annual audit no later than 4 months after the close of the fiscal year.
- n) Fail to notify the board about any of the following conditions:

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- i. Deviations from the annual budget for expenses or revenue that are more than 5% of a single budget line item or \$15,000, whichever is greater;
 - ii. Projected declines in annual revenue of 5% per line item from any year in the multi-year budget;
 - iii. Receivables of \$10,000 or more that are more than 90 days old;
 - iv. Available cash is less than \$300,000.
 - v. Funder contracts of \$50,000 or more are not in place by the date anticipated in the annual budget.
- o) Fail to seek board approval prior to entering into debt beyond a \$300,000 line of credit.
- i) Fail to notify the board if the line of credit has been accessed.
 - ii) Fail to notify the board if the line of credit is not renewed.
- p) Operate without a written 'Whistle-Blower Protection' policy to deal with reports on suspected illegal activities and prevent retaliation.
- i. Fail to investigate employee complaints and correct any problems or explain why corrections are not necessary.
 - ii. Fail to promptly report any complaints and results of the investigation to the designated member of the board.
- q) Operate without a written document retention policy.
- r) Materially change 401k retirement plan administration, trusteeship, or investing under direction and authorization of the Finance & Audit Committee, without also notifying the Board of same.
- s) Fail to annually report to the Board the asset balance of the employer discretionary contributions to the agency-sponsored 401(k) retirement plan.

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EL6. Asset Protection

The Executive Director shall not allow the assets of the organization, or those that are the responsibility of the organization, to be unprotected, inadequately maintained or unnecessarily risked.

Level Three Policies

The Executive Director shall not:

- a) Operate without written policies and controls and a risk management plan in place sufficient to meet the board-appointed auditor's standards and protect the assets of the organization.
- b) Hold operating and non-operating capital in investments that are inconsistent with CSB's investment policies.
 - i) Fail to obtain Finance and Audit Committee review of CSB's investment policies, including the investment plan related to the 401k retirement plan.
- c) Fail to insure against:
 - i) theft or employee dishonesty in an amount not less than \$1,000,000;
 - ii) casualty losses not less than 80 percent of replacement value;
 - iii) liability losses to board members, staff and the organization itself in an amount up to \$2,000,000.
- e) Subject fixed assets and equipment to improper wear and tear or insufficient maintenance.
- f) Unnecessarily expose the organization, its board, or its staff to claims of liability.
- g) Fail to protect intellectual property, information, and files from loss or significant damage.
 - i) Operate without written document retention policy.
 - ii) Operate without a written disaster recovery plan.
- h) Endanger the organization's public image or credibility, particularly in ways that would hinder its accomplishment of mission.
- i) Fail to consult with legal counsel or other experts in the annual review of insurance, asset protection policies and the risk management plan.

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EL7. Treatment of Staff

With respect to the treatment of paid and volunteer staff, the Executive Director may not cause or allow conditions that are unfair or disrespectful.

Level Three Policies

The Executive Director shall not:

- a) Permit the organization to operate without written personnel policies that clarify personnel rules for staff, employment practices and employee benefits, including job descriptions and salary schedules, provide effective handling of grievances, enable staff members to express an ethical dissent, and protect against wrongful conditions such as nepotism and grossly preferential treatment for personal reasons.
- b) Fail to consult with legal counsel, human resources experts or other advisors as appropriate in the development and implementation of personnel policies.
- c) Prevent staff from grieving to the board when internal procedures have been exhausted, and the employee alleges either that: (i) board policy has been violated to his or her detriment or (ii) board policy does not adequately protect his or her human rights.
- d) Fail to acquaint staff with their rights under this policy.
- e) Fail to notify the board of any legal action, proceedings of an administrative body, or criminal charges filed against the organization or against an employee related to any employee's work or conditions of the workplace.

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EL8. Compensation and Benefits

With respect to employment, compensation and benefits to employees, consultants, contract workers and volunteers, the Executive Director shall not cause or allow jeopardy to fiscal integrity or public image.

Level Three Policies

The Executive Director shall not:

- a) Operate without written fiscal policies that clarify rules and procedures for handling compensation and benefits.
- b) Change his or her own compensation and benefits.
- c) Promise or imply permanent or guaranteed employment.
- d) Establish current compensation and benefits that deviate materially from the geographic or professional market for the skills employed.
- e) Provide less than some basic level of benefits to all full-time employees, though differential benefits to encourage longevity are not prohibited.
- f) Establish benefits without considering the affect on the taxability of said benefits for any employee.
- g) Establish new or materially change 401k retirement benefits.
 - i. Incur unfunded liabilities.
 - ii. Allow any employee to lose benefits already accrued from any foregoing plan.
 - iii. Treat the Executive Director differently from other key employees.
 - iv. Fail to provide 3% safe harbor payments as required.
 - v. Fail to provide employer discretionary contribution per annual budget.
- h) Permit the agency to loan money to any employee, trustee or officer.

EL9. Emergency Executive Director Succession

In order to protect the board from sudden loss of Executive Director services, the Executive Director shall have at least one other executive familiar with board and Executive Director issues and processes.

Level Three Policies

The Executive Director shall not:

- a) Operate without written procedures that instruct the staff on when, how, and for what reasons the emergency executive director interim plan is enacted.
- b) Fail to annually review the plan with the board chair and provide a senior staff talent management assessment.

Outline of Governance Process⁴ Policies

Level One: Governance Process Policy

The purpose of the board, on behalf of the citizens of Franklin County, is to see that the Community Shelter Board achieves its mission in a manner that is responsive and accountable to its ownership.

Level Two Topics

1. Membership
2. Governing style
3. Board job description
4. Chair's role
5. Board members' code of conduct
6. Vice Chair's role
7. Treasurer's role
8. Secretary's role
9. Board committee principles
10. Finance & Audit Committee role
11. Nominating Committee role
12. Cost of governance

⁴ Governance Process Policies*

- < Define the board's job.
- < Explicitly describe the standards of group and individual behavior to which the board agrees to hold itself accountable.
- < Instructs subparts of the board, such as officers and committees.
- < Describe the board's own means.

*Source: John Carver and Mariam Mayhew Carver, *Reinventing Your Board*, Jossey-Bass Publishers, San Francisco, 1997.

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**Community Shelter Board
Governance Process Policies**

Governance Process Policy

The purpose of the board, on behalf of the citizens of Franklin County, is to see that the Community Shelter Board achieves its mission in a manner that is responsive and accountable to its ownership.

Level Two Policies

GP1. Membership

A membership of founders shall exist, as governed by the Code of Regulations. The members of the corporation are the ADAMH Board of Franklin County, City of Columbus, Columbus Chamber, The Columbus Foundation, Franklin County, Metropolitan Area Church Council, and United Way of Central Ohio.

GP2. Governing Style

The board will govern with an emphasis on (1) outward vision rather than internal preoccupation, (2) encouragement of diversity of viewpoints, (3) strategic leadership more than administrative detail, (4) clear distinction of board and chief executive roles, (5) collective rather than individual decisions, (6) future rather than past or present, and (7) proactivity rather than reactivity.

GP3. Board Job Description

The specific job outputs of the board are those that tie the citizens of Franklin County to the Ends of the organization.

GP4. Chair's Role

The Chair assures the integrity and fulfillment of the board's process and, secondarily, occasionally represents the board to outside parties.

GP5. Board Member's Code of Conduct

The board commits itself and its members to ethical, businesslike and lawful conduct, including proper use of authority and appropriate decorum when acting as board members.

GP6. Vice Chair's Role

The vice-Chair shall assume the role of the Chair in his or her absence.

GP7. Treasurer's Role

The treasurer shall be a Certified Public Accountant or financial expert and shall fulfill all fiduciary responsibilities of non-profit board treasurers as required under applicable Ohio and federal law, shall chair the Finance & Audit Committee and shall coordinate board monitoring of Executive Director performance against Financial Planning and Budgeting, Financial Conditions and Activities and Asset Protection policies.

GP8. Secretary's Role

The Secretary shall take minutes or delegate the responsibility of taking minutes at all official meetings of the board of trustees, and shall monitor and enforce the Conflict of Interest policy.

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GP9. Board Committee Principles

Board committees, when used, will reinforce the wholeness of the board's job and never interfere with delegation of authority from the board to the Executive Director.

GP10. Finance & Audit Committee Role

The Finance & Audit Committee shall provide oversight and approval of the agency's financial activities.

GP11. Nominating Committee role

The Nominating Committee shall provide recommendations for trustee appointments, for consideration by the board and the members of the corporation.

GP12. Cost of Governance

Because poor governance costs more than learning to govern well, the board will invest in its governance capacity.

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GP1. Membership

A membership of founders shall exist, as governed by the Code of Regulations. The members of the corporation are the ADAMH Board of Franklin County, City of Columbus, Columbus Chamber, The Columbus Foundation, Franklin County, Metropolitan Area Church Council, and United Way of Central Ohio

Level Three Policies

- a) As stated in the Code of Regulations of the Community Shelter Board, the number of trustees on the board is twenty (20), and may be modified pursuant to law, or by resolution of the members entitled to vote, but the number of trustees can not be less than three (3) or greater than twenty (20).
 - i) Class A Members: Each Class A Member has four votes at the annual meeting of members and is entitled to appoint four (4) Trustees. The Class A Members are:
 - City of Columbus
 - County of Franklin
 - ii) Class B Members. Each Class B Member has two votes at the annual meeting of members and is entitled to appoint two (2) Trustees. The Class B Members are:
 - Columbus Chamber
 - United Way of Central Ohio
- b) The members of the corporation shall meet annually for the annual election of Trustees and to consider and approve any other business.

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GP2. Governing Style

The board will govern with an emphasis on (1) outward vision rather than internal preoccupation, (2) encouragement of diversity of viewpoints, (3) strategic leadership more than administrative detail, (4) clear distinction of board and chief executive roles, (5) collective rather than individual decisions, (6) future rather than past or present, and (7) proactivity rather than reactivity.

Level Three Policies

- a) The board will cultivate a sense of group responsibility. The board, not the staff, will be responsible for excellence in governing. The board will be the initiator of policy, not merely a reactor to staff initiatives. The board will use the expertise of individual members to enhance the ability of the board as a body, rather than to substitute individual judgments for the board's values. The board will allow no officer, individual or committee of the board to hinder or be an excuse for not fulfilling board commitments.
- b) The board will direct, control and inspire the organization through the careful establishment of broad written policies reflecting the board's values and perspectives about Ends to be achieved and means to be avoided. The board's major policy focus will be on the intended long-term effects outside the organization, not on the administrative or programmatic means of attaining those effects.
- c) The board will enforce upon itself whatever discipline is needed to govern with excellence. Discipline will apply to matters such as attendance, preparation, policy-making principles, respect of roles, and ensuring continuance of governance capability. Continual board development will include orientation of new board members in the board's governance process and periodic board discussion of process improvement.
- d) The board will monitor and discuss the board's process and performance at each meeting. Self-monitoring will include comparison of board activity and discipline to the Governance Process and Board-Executive Director Linkage policies.

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GP3. Board Job Description

The specific job outputs of the board are those that tie the citizens of Franklin County to the Ends of the organization.

Level Three Policies

- a) The board will provide the link between the organization and the ownership.
 - i. A citizens advisory council, comprised of people who have experienced homelessness, will exist to give guidance and feedback to CSB.
 - ii. The board will meet annually with its funders to seek feedback and input on the work of CSB.
 - iii. The board will meet annually with funded partner agency executives and board members.
 - iv. The board will consider input from the general public.

- b) The board will produce written governing policies that, at the broadest levels, address each category of organizational decision
 - v. Ends: Organizational products, effects, benefits, outcomes, recipients, and their cost or relative worth (what good for which recipients at what cost).
 - vi. Executive Limitations: Constraints on executive authority that establish the prudence and ethical boundaries within which all executive activity and decisions must take place.
 - vii. Governance Process: Specification of how the board conceives, carries out and monitors its own job.
 - viii. Board-Executive Director Linkage: How authority is delegated and its proper use monitored; authority and accountability of the Executive Director role.

- c) The board will assure and monitor Executive Director performance against Ends and Executive Limitations policies.

- d) The board will establish a non-emergency Executive Director succession plan.

- e) The board will establish a written Executive Director annual performance review procedure.

- f) The board will be responsible for financial review and monitoring, to include:
 - i. Review of quarterly un-audited financial statements;
 - ii. Approval of the independent auditor;
 - iii. Approval of the annual audited financial statements after review of those statements with the auditor; and
 - iv. Review of the annual IRS Form 990.

- g) The board will be responsible for those aspects of fundraising that include:
 - i) Opening doors – providing introductions and making connections;
 - ii) Being champions, advocates, ambassadors – sharing the good work of CSB in the community and with current and potential investors; and
 - iii) Contributing financially to the organization.

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- g) To accomplish its job products with a governance style consistent with board policies, the board will prepare and follow an annual agenda that:
 - i. Completes re-exploration of Ends policies annually;
 - ii. Continually improves board performance through board education, including financial literacy, and enriched input and deliberation;
 - iii. Includes a process and schedule for consultation with selected groups in the ownership, or other methods of gaining ownership input; and
 - iv. Determines Executive Director remuneration after a review of monitoring reports.
- h) Throughout the year, the board will attend to consent agenda items as expeditiously as possible.
- i) Board members may occasionally provide advice to the Executive Director based on their individual knowledge and expertise; however, when functioning in this advisory capacity an individual Board member shall not supervise or direct the Executive Director or make decisions about policies created by the Board.

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GP4. Chair's Role

The Chair assures the integrity and fulfillment of the board's process and, secondarily, occasionally represents the board to outside parties.

Level Three Policies

- a) The job result of the Chair is that the board behaves consistently with its own rules and those legitimately imposed upon it from outside the organization.
 - i. Meeting discussion content will be only the issues that, according to board policy, clearly belong to the board to decide, not the Executive Director.
 - ii. Deliberation will be fair, open and thorough, but also timely, orderly, and to the point.
- b) The authority of the Chair consists of making decisions that fall within topics covered by board policies on Governance Process and Board-Executive Director Linkage, except where the board specifically delegates portions of this authority to others. The Chair is authorized to use any reasonable interpretation of the provisions of these policies.
 - i. The Chair is empowered to chair board meetings with all the commonly accepted power of that position (for example, ruling, recognizing).
 - ii. The Chair has no authority to make decisions that fall within topics covered by the board policies on Ends and Executive Limitations. Therefore, the Chair has no authority to supervise or direct the Executive Director.
 - iii. The Chair will serve as a communication link between the board and the Executive Director.
 - iv. The Chair may represent the board to outside parties in announcing board-stated positions and in stating chair decisions and interpretations within the area delegated to her or him.
 - v. The Chair will review and act on partner agency appeals of funding and/or program outcome plan recommendations.
 - vi. The Chair may delegate this authority, but remains accountable for its use.
- c) In relation to Whistle-Blower Protection, the Board Chair shall review:
 - i) Reports or complaints received directly from employees; and
 - ii) Reports presented by the Executive Director relating to complaints and problems pertaining to the Whistle-Blower Protection policy.

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GP5. Board Member's Code of Conduct

The board commits itself and its members to ethical, businesslike and lawful conduct, including proper use of authority and appropriate decorum when acting as board members.

Level Three Policies

- a) Members will regularly attend board and committee meetings, review materials provided to monitor Executive Performance and prepare for meetings and actively participate in board and committee deliberations.
- b) Members must represent unconflicted loyalty to the interests of the ownership. This accountability supersedes any conflicting loyalty such as that to advocacy or interest groups and membership on other boards or staffs. It also supersedes the personal interest of any board member acting as a consumer of the organization's services.
- c) Members must avoid conflicts of interest with respect to their fiduciary responsibility.
 - i. There must be no self-dealing or any conduct of private business or personal services between any board member and the organization, except as procedurally controlled, to assure openness, competitive opportunity and equal access to inside information.
 - ii. When the board is to decide upon an issue about which a member has an unavoidable conflict of interest, the member shall disclose the conflict and absent herself or himself from the vote on the issue.
 - iii. Board members must not use their positions to obtain employment with the organization or with any agency funded by the organization for themselves, family members, or close associates. Should a member desire employment, he or she must first resign.
 - iv. Members will disclose their involvements with other organizations, vendors, or any other associations that might produce a conflict at each meeting, during deliberation, as conflicts arise. In addition members will annually complete a written form to disclose such conflicts.
- d) Board members may not attempt to exercise individual authority over the organization except as explicitly set forth in board policies.
 - i. Members' interaction with the public, the press or other entities must recognize the same limitation and the inability of any board member to speak for the board except to repeat explicitly stated board decision.
 - ii. Individual opinions of Executive Director or staff performance shall not substitute for the judgment of the board acting as a body.
- e) Members will respect the confidentiality appropriate to issues of a sensitive nature.

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GP6. Vice-Chair's Role

The vice-Chair shall assume the role of the Chair in his or her absence.

GP7. Treasurer's Role

The treasurer shall be a Certified Public Accountant or financial expert and shall fulfill all fiduciary responsibilities of non-profit board treasurers as required under applicable Ohio and federal law, shall chair the Finance & Audit Committee and shall coordinate board monitoring of Executive Director performance against Financial Planning and Budgeting, Financial Conditions and Activities and Asset Protection policies.

GP8. Secretary's Role

The Secretary shall take minutes or delegate the responsibility of taking minutes at all official meetings of the board of trustees, and shall monitor and enforce the Conflict of Interest policy.

- a) In relation to Conflict of Interest, the Secretary shall:
 - i. In preparation for each meeting, review a summary compilation presented by the Executive Director of annual disclosure statements submitted by trustees.
 - ii. Review any report presented by the Executive Director relating to issues pertaining to the Conflict of Interest policy.

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GP9. Board Committee Principles

Board committees, when used, will reinforce the wholeness of the board's job and never interfere with delegation of authority from the board to the Executive Director.

Level Three Policies

- a) Committees will be used sparingly and ordinarily in an ad hoc capacity.
- b) Board committees are to help the board do its job. Committees ordinarily will assist the board by preparing policy alternatives and implications for board deliberation. In keeping with the board's broader focus, board committees will normally not have dealings with current staff operations.
- c) Board committees may not speak or act for the board except when formally delegated such authority for specific and time-limited purposes. Expectations and authority will be carefully stated in order not to conflict with authority delegated to the Executive Director.
- d) Board committees cannot exercise authority over staff. Because the Executive Director works for the full board, he or she will not be required to obtain approval of a board committee before an executive action.
- e) Board committees shall avoid over-identification with organizational parts rather than the whole. Therefore, a board committee that has helped the board develop a policy topic generally will not be used to monitor organizational performance on that same policy.
- f) Committee assignments will be distributed among board members in order to assure that over time all members are responsible for committee work.
- g) This policy applies to any group that is formed by board action, whether or not it is called a committee and regardless of whether the group includes board members. It does not apply to committees formed under the authority of the Executive Director.

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GP10. Finance & Audit Committee Role

The Finance & Audit Committee shall provide oversight and approval of the agency's financial investment activities.

Level Three Policies

The Finance & Audit Committee shall provide annual auditor selection, oversight and approval of the audit, budget reviews, investment plan monitoring and instruction, review the annual IRS Form 990,.

- a) The Finance & Audit Committee shall consist of:
 - i. The Treasurer of the board, who shall be a Certified Public Accountant or financial expert and shall be the chair of the Finance & Audit Committee;
 - ii. Financially literate trustees, and financially literate community volunteers if deemed appropriate by the board;
 - iii. At least three but not more than eight members.
- b) The Finance & Audit Committee will recommend selection of the auditor to the board and will oversee and approve the annual audit.
 - i. The Finance & Audit Committee Treasurer will negotiate and approve the audit engagement letter annually.
 - ii. The auditors will communicate with the Treasurer and Executive Director during the audit process.
 - iii. The Finance & Audit Committee will comment on and approve the annual audit report and recommend approval to the board.
- c) The Finance & Audit Committee shall review the annual and multi-year budget.
- d) The Finance & Audit Committee shall perform oversight responsibilities for relevant financial documents.
 - i. The Treasurer, or other Finance & Audit Committee members as assigned by the Treasurer, will review monthly financial statements
 - ii. Review the IRS Form 990.
- e) The Finance & Audit Committee is authorized by the Board to take any action which the Board may take under the Community Shelter Board's investment plan. By way of illustration, but not limitation:
 - i. The Finance & Audit Committee will instruct staff and/or investment administrators on changes to the excess cash or 401k retirement plan investment policy document or decisions related to the plan document.
 - ii. The Finance & Audit Committee will instruct staff and/or 401k retirement plan trustees regarding changes to the 401k retirement plan trustee relationship and matters involving the 401k retirement plan trustee.

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- iii. The Finance & Audit Committee will instruct staff and/or investment managers regarding changes to investments and matters relating to investment of excess cash assets.
- iv. The Finance & Audit Committee will inform the Board of any material changes to excess cash or 401k retirement plan administration, trusteeship, or investing.

GP11. Nominating Committee role

The Nominating Committee shall provide recommendations for trustee appointments, for consideration by the board and the members of the corporation.

- a) The Nominating Committee shall consist of:
 - i) The chair, the two vice chairs (one of the vice chairs shall be the chair of the Nominating Committee), past chair, secretary, and other trustees deemed appropriate by the board;
 - ii) At least three but not more than six members.
- b) The Nominating Committee will meet at least twice annually to:
 - i) Identify and nominate candidates for new trustee appointments;
 - ii) Review and nominate current trustee candidates for term renewals;
 - iii) Review and nominate current trustee candidates for board officer positions; and
 - iv) Identify, review and nominate candidates for Advisory Council membership.

GP12. Cost of Governance

Because poor governance costs more than learning to govern well, the board will invest in its governance capacity.

Level Three Policies

- a) Board skills, methods and supports will be sufficient to assure governing with excellence.
 - i. Training and retraining will be used liberally to orient new members and candidates for membership, as well as to maintain and increase existing member skills and understandings.
 - ii. Outside monitoring assistance will be arranged so that the board can exercise confident control over organizational performance. This includes, but is not limited to, fiscal audit.
 - iii. Outreach mechanisms will be used as needed to ensure the board's ability to listen to owner viewpoints and values.
- b) The board will set aside adequate, but prudent, resources in the annual budget for:
 - i. Board training, including attendance at conferences and workshops;
 - ii. Audit and other third party monitoring of organizational performance; and
 - iii. Surveys, focus groups, opinion analyses and meeting costs.

Outline of Board-Executive Linkage⁵ Policies

Board-Executive Linkage Policy

The board's sole official connection to the operating organization, its achievement, and conduct will be through an Executive Director.

Level Two Topics

1. Unity of control—the Executive Director works only for the board as a body.
2. Accountability of the Executive Director—Executive Director as embodiment of the organization.
3. Delegation to the Executive Director—the nature of authorizing and instructing.
4. Monitoring Executive Director performance—rules and process of evaluation.

⁵ Board-Executive Linkage Policies*

- ⟨ Used by the board to describe how it transfers a large portion of its authority to management.
- ⟨ Deal with methods and practices (means) of the board for delegation to the Executive Director.
- ⟨ Deal with monitoring to determine the proper use of delegated authority.

*Source: John Carver and Mariam Mayhew Carver, *Reinventing Your Board*, Jossey-Bass Publishers, San Francisco, 1997.

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**Community Shelter Board
Board-Executive Linkage Policies**

Board-Executive Linkage Policy

The board's sole official connection to the operating organization, its achievement, and conduct will be through an Executive Director.

Level Two Policies

BE1. Unity of Control

Only decisions of the board acting as a body are binding on the Executive Director.

BE2. Accountability of the Executive Director

The Executive Director is the board's only link to operational achievement and conduct, so that all authority and accountability of staff, as far as the board is concerned, is considered the authority and accountability of the Executive Director.

BE3. Delegation to the Executive Director

The board will instruct the Executive Director through written policies that prescribe the organizational Ends to be achieved and describe organizational situations and actions to be avoided, allowing the Executive Director to use a reasonable interpretation of these policies.

BE4. Monitoring Executive Performance

Systematic and rigorous monitoring of Executive Director job performance will be done solely against the expected Executive Director job outputs: (1) organizational accomplishment of board policies on Ends, and (2) organizational operation within boundaries established in board policies on Executive Limitations.

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BE1. Unity of Control

Only decisions of the board acting as a body are binding on the Executive Director.

Level Three Policies

- a) Decisions or instructions of individual board members, officers or committees are not binding on the Executive Director except in rare instances when the board has specifically authorized such delegation of authority.
- b) In the case of board members or committees requesting information or assistance without board authorization, the Executive Director can refuse such requests that require, in the Executive Director's opinion, a material amount of staff time or funds, or are disruptive.

BE2. Accountability of the Executive Director

The Executive Director is the board's only link to operational achievement and conduct, so that all authority and accountability of staff, as far as the board is concerned, is considered the authority and accountability of the Executive Director.

Level Three Policies

- a) The board will never give instructions to persons who report directly or indirectly to the Executive Director.
- b) The board will refrain from evaluating, either formally or informally, any staff other than the Executive Director, unless such input is solicited by the Executive Director.
- c) The board will view Executive Director performance as related to organizational performance so that organizational accomplishment of board-stated Ends and compliance with Executive Limitations policies of the board will be viewed as successful Executive Director performance.

BE3. Delegation to the Executive Director

The board will instruct the Executive Director through written policies that prescribe the organizational Ends to be achieved and describe organizational situations and actions to be avoided, allowing the Executive Director to use a reasonable interpretation of these policies.

Level Three Policies

- a) The board will develop policies instructing the Executive Director to achieve results for certain recipients at a specified cost. These policies will be developed systematically from the broadest, most general level, to more defined levels and will be called *Ends policies*.
- b) The board will develop policies that limit the latitude the Executive Director may exercise in choosing the organizational means. These policies will be developed systematically from the broadest, most general level to more defined levels, and they will be called *Executive Limitations policies*.
- c) As long as the Executive Director uses a reasonable interpretation of the board's Ends and Executive Limitations policies, the Executive Director is authorized to establish all further policies, make all decisions, take all actions, establish all practices and develop all activities.
- d) The board may change its Ends and Executive Limitations policies, thereby shifting the boundary between board and Executive Director domains. By doing so, the board changes the latitude of choice given to the Executive Director. But as long as any particular delegation is in place by virtue of existing Ends and Executive Limitation policies, the board will respect and support the Executive Director choices and actions.

BE4. Monitoring Executive Director Performance

Systematic and rigorous monitoring of Executive Director job performance will be done solely against the expected Executive Director job outputs: (1) organizational accomplishment of board policies on Ends, and (2) organizational operation within boundaries established in board policies on Executive Limitations.

Level Three Policies

- a) Monitoring is simply to determine the degree to which board policies are being met. Information that does not do this will not be considered for the purpose of monitoring.
- b) The board will acquire monitoring information and input by one or more of three methods: (i) by internal report, in which the Executive Director discloses compliance information to the board; (ii) by direct board inspection, in which a designated member or members of the board assess compliance with the appropriate policy criteria; and (iii) by external report, in which an external, disinterested third party selected by the board assesses compliance with board policies.
- c) All policies that instruct the Executive Director will be monitored at a frequency and by a method chosen by the board. The board can monitor any policy at any time by any method, but will ordinarily depend on a routine schedule.

FY2015-2016 Program⁶ Evaluation Methodology

The Evaluation Methodology document establishes the purpose, definition, goal-setting and reporting methodology for each of the indicators that CSB and the CoC currently track for their reporting needs.

Purpose: identifies the reason for the indicator

Projects: identifies the projects for which an indicator applies

Definition: CSB or CoC/HUD definition for the indicator

Goal-setting methodology: used by each agency to set goals around the indicator

Reporting methodology: detailed description on how CSB is calculating the indicator

Reporting Conventions

- 1) Measures apply only to heads of household with the exception of income-related measures.
- 2) A family is defined as a household consisting of at least one adult and at least one minor child.
- 3) The term “head of household” applies both to families and to single adult clients. Each family unit must have a head of household. A household may not have more than one head of household.
- 4) The term “household” describes a unit consisting of either a family or a single adult.
- 5) Emergency shelter reporting methodology includes overflow numbers. Goals do not include overflow.
- 6) Permanent Supportive Housing includes Shelter Plus Care/Rental Assistance projects.

Purpose, Definition, Goal-setting & Reporting Methodologies *(in alpha order)*

1) **Average Engagement Time (AET) (Days):**

- a) **Purpose:** A reasonably short AET indicates the project’s success in rapid re-housing or navigator engagement. It can also indicate efficiency related to turnover of beds which is essential to meet system demand for emergency shelter.
- b) **Projects:** Family shelters, Front Door Shelter, Tier 2 Shelters and Navigator Project
- c) **Definition:**
 - i) Family shelters: The average number of days households receive shelter services as measured from shelter entry to entry/enrollment into the direct housing/rapid re-housing project. Measure applies only to households that had an entry date in the direct housing/rapid re-housing project within the report period.
 - ii) Front Door Shelter, Tier 2 Shelters, Navigator Project: The average number of days households receive shelter services as measured from shelter entry to navigator engagement date. Measure applies only to households that had an entry date in the Navigator Project within the report period.
- d) **Goal-setting methodology:** Meet or below CSB Board Ends Policy.
- e) **Reporting methodology:**

⁶ As of 10/1/2014, the term, “Program” is replaced by “Project” per HUD’s guidance.

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- i) Family shelters: $\Sigma(\text{direct housing/rapid re-housing project entry/enrollment date} - \text{Family shelters entry date}) / \text{the number of total distinct households served with an entry date in the direct housing/rapid re-housing project within the report period.}$
- ii) Front Door Shelter, Tier 2 Shelters, Navigator Project: $\Sigma(\text{Navigator engagement date} - \text{Front Door Shelter/Tier 2 Shelter entry date}) / \text{the number of total distinct households served with an entry date in the Navigator Project within the report period.}$

2) *Average Length of Participation (Days):*

- a) **Purpose:** Indicates that project is assisting households to achieve independence without long term reliance on the project.
- b) **Projects:** Direct Housing, Rapid Re-housing, Homelessness Prevention, SSVF projects and Navigator Project
- c) **Definition:** Average number of days that exited distinct households received services as measured from the point of entry to the exit date from the project.
- d) **Goal-setting methodology:** Based on project design and anticipated performance. Meet or below CSB Board Ends Policy.
- e) **Reporting methodology:** $\Sigma(\text{Exit date} - \text{Entry/Enrollment/Engagement date}) / \text{the number of total distinct households served and exited from project during the report period.}$

3) *Average Length of (shelter) Stay (LOS)(Days):*

- a) **Purpose:** A reasonably short LOS indicates the project's success in rapid re-housing. It can also indicate efficiency related to turnover of beds which is essential to meet system demand for emergency shelter.
- b) **Projects:** Emergency Shelter, Direct Housing, Rapid Re-housing, and Navigator Project
- c) **Definition:**
 - i) Emergency Shelter: The average cumulative number of days households receive shelter as measured from shelter entry to exit or last day of report period.
 - ii) Direct Housing and Rapid Re-housing/ SSVF Projects: The average number of days households receive services as measured from the point of entry in the direct housing/rapid re-housing project to the exit date from the emergency shelter. Measure applies only to households that had an entry date in the direct housing/rapid re-housing project within the report period. *Note: households who had a direct housing/rapid re-housing entry date after their emergency shelter exit date are excluded from this calculation.*
 - iii) Navigator Project: The average number of days households receive services as measured from the point of Navigator engagement to the exit date from the emergency shelter. Measure applies only to households that had an engagement date in the Navigator Project within the report period. *Note: households who had a Navigator engagement date after their emergency shelter exit date are excluded from this calculation.*
- d) **Goal-setting methodology:** Meet or below CSB Board Ends Policy. An average LOS less than Ends goal is considered to be the desired direction.
- e) **Reporting methodology:**
 - i) Emergency Shelter: $\Sigma(\text{Exit date or report end date} - \text{Entry date}) / \text{the number of total distinct households served within the report period.}$
 - ii) Direct Housing and Rapid Re-housing/ SSVF Projects: $\Sigma(\text{shelter exit date} - \text{direct housing/rapid re-housing entry date}) / \text{the number of total distinct households served}$

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with an entry date in the direct housing/rapid re-housing project that also exited shelter within the report period.

- iii) Navigator Project: $\Sigma(\text{shelter exit date} - \text{Navigator engagement date}) / \text{the number of total distinct households served with an entry date in the Navigator Project that also exited shelter within the report period.}$

4) ***Average Number of Service Instances (#)***

- a) **Purpose:** A low number of service instances indicates the project's efficiency in rapid re-housing and long-term stability.
- b) **Projects:** Navigator Project
- c) **Definition:** Average number of shelter stays per distinct client served within 12 months.
- d) **Goal-setting methodology:** Meet or below CSB Boards Ends Policy.
- e) **Reporting methodology:** Total number of shelter stays a client receives within the past 12 months / Total number of distinct clients served during the report period.

5) ***Carryover Households (#):***

- a) **Purpose:** Indicates volume of households served by the project which do not exit prior to the first day of the report period. This measure is monitored but not evaluated.
- b) **Projects:** Direct Housing, Rapid Re-housing, Navigator Project, Homelessness Prevention, SSVF Projects, Benefits Partnership and Outreach Specialist
- c) **Definition:** Distinct households that entered the project prior to the first day of the report period.
- d) **Goal-setting methodology:** Based on prior performance. If new project, the project must provide the rationale for planned goal.
- e) **Reporting methodology:** The number of distinct households with an entry date before 7/1/XX for annual number; before 7/1/XX and 1/1/XX for semi-annual; before 7/1/XX, 10/1/XX, 1/1/XX, and 4/1/XX for quarterly.

6) ***Completed Vocational/Other Training (%):***

- a) **Purpose:** Indicates that project is assisting households to stabilize by increasing their skills and becoming employable. A higher rate is considered positive.
- b) **Projects:** TSA Job2Housing
- c) **Definition:** The percentage of households that enroll and/or complete vocational or other training by their exit from the project.
- d) **Goal-setting methodology:** Meet or exceed goal.
- e) **Reporting methodology:** The percentage is calculated by determining the number of exited households that have enrolled and/or completed training (any member of the household, each household counted only once) and dividing by the total number of households that exited during the report period.

7) ***Detox Exits (#):***

- a) **Purpose:** Indicates that project is assisting households to enter detox and/or treatment. A higher rate is considered positive.
- b) **Projects:** Maryhaven Engagement Center - Safety

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- c) **Definition:** The number of households served that exit to an inpatient drug or alcohol treatment facility.
 - d) **Goal-setting methodology:** Meet or exceed CSB standards.
 - e) **Reporting methodology:** The percentage of detox exits is derived by dividing the number of distinct households that were exited with a detox destination by the total number of distinct households that exited the project during the report period (i.e., latest exit for households with multiple stays during the report period).
- 8) ***Diversion Recidivism (%):***
- a) **Purpose:** Indicates project's success in ending homelessness as measured by the number of households successfully diverted to other community resources instead of entering emergency shelter and that do not subsequently return or enter shelter after a successful diversion outcome.
 - b) **Projects:** Coordinated Point of Access
 - c) **Definition:** The total number of distinct households that were successfully diverted during the report period with a successful diversion outcome (as defined for that project) and that subsequently enter shelter within 30 days after having a successful diversion outcome. This measure is expressed as a percentage of total distinct households with a successful diversion outcome.
 - d) **Goal-setting methodology:** Meet or below CSB Board Ends Policy.
 - e) **Reporting methodology:** A percentage rate reflecting the number of diversion recidivist households relative to the number of households that were successfully diverted. Diversion recidivism rate is measured only for semi-annual and annual report periods.
 - i) Rate = (numerator/denominator) x 100
 - ii) Denominator: Cohort of households which attained a successful diversion outcome prior to the end of the report period.
 - (1) Semi-annual cohort: Calculate the number of distinct households with successful diversion outcome within the first 90 days of the semi-annual report period.
 - (2) Annual cohort: Calculate the number of distinct households with successful diversion outcome within the first 270 days of the annual report period.
 - iii) Numerator: Number of diversion recidivists from the above cohort
 - (1) A diversion recidivist household is defined as a distinct household that has a successful diversion outcome and enters the emergency shelter system (excludes Maryhaven-Safety, Maryhaven-Shelter2Housing and Huck House Youth Shelter) within 0 to 30 days after that outcome.
 - (2) Using the above cohort, calculate the number of distinct households that enters the shelter system within 0 to 30 days subsequent to a successful diversion outcome.
- 9) ***Employment Status at Exit (# and %):***
- a) **Purpose:** Indicates that project is assisting households to stabilize housing by becoming employed. A higher rate is considered positive.
 - b) **Projects:** TSA Job2Housing
 - c) **Definition:** The (number and/or) percentage of households that have employment at exit as measured by their earned income at exit from the project.
 - d) **Goal-setting methodology:** Meet or exceed CSB Board Ends or HUD Standards.

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- e) **Reporting methodology:** Employment Status at Exit is calculated by determining the number of exited households that have “earned income” from employment as their source of income and dividing this number by the total number of households that exited during the report period.

10) ***Exited Households (#):***

- a) **Purpose:** Indicates volume of households served by the project which exit during the report period. This measure is monitored, but not evaluated.
- b) **Projects:** Direct Housing, Rapid Re-housing, Navigator Project, Homelessness Prevention, SSVF Projects, Transitional Housing and Outreach Specialist
- c) **Definition:** Number of distinct households that exited the project during the report period.
- d) **Goal-setting methodology:** Meet or exceed prior performance. If new project, the project must provide the rationale for planned goal. Monitored but not evaluated.
- e) **Reporting methodology:** The number of distinct households with an exit date within the report period who are also not currently in the project at the end of the report period.

15) ***Exited Households to PSH (#):***

- a) **Purpose:** Indicates volume of households served by the project which exit during the report period to Permanent Supportive Housing. This measure is monitored but not evaluated.
- b) **Projects:** Outreach Specialist
- c) **Definition:** Number of distinct households that exited the project during the report period to permanent supportive housing.
- d) **Goal-setting methodology:** Meet or exceed prior performance. Monitored, but not evaluated.
- e) **Reporting methodology:** The number of distinct households with an exit date within the report period who are also not currently in the project at the end of the report period and who also have an entry date into a permanent supportive housing project.

16) ***Exit to Homelessness (%):***

- a) **Purpose:** Indicates project’s success in ending homelessness as measured by those who return to emergency shelter. A lower rate is considered positive.
- b) **Projects:** Permanent Supportive Housing and Transitional Housing
- c) **Definition:** The percent of households who do not maintain their housing, whether or not as part of the Permanent Supportive Housing or Transitional Housing project, and return to emergency shelter within 0 to 90 days of exit from the project.
- d) **Goal-setting methodology:** At or below CSB Board Ends Policy or local CoC standards. Based on historical trends or anticipated performance.
- e) **Reporting methodology:** Those households who exit the project and enter shelter within 0 to 90 days after exit or as of date of report, divided by the total number of distinct households served during the report period. $\Sigma(\text{Households that exited project and entered shelter within 0 to 90 days}) / \text{total distinct households served}$.
 - i) Denominator – Total distinct households served
 - 1) Quarterly cohort: Calculate the number of distinct households served within the previous quarterly reporting period.

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- 2) Semi-annual cohort: Calculate the number of distinct households within the first 90 days of the semi-annual report period.
- 3) Annual cohort: Calculate the number of distinct households within the first 270 days of the annual report period.

17) **Households Served (#):**

- a) **Purpose:** Indicates volume of households served by the project. For emergency shelters, this number indicates the extent to which the project serves a proportional share of system demand. For supportive housing, the number correlates to capacity and unit turnover rates. For all other projects, the number measures project efficiency.
- b) **Projects:** All
- c) **Definition:** The number of distinct households served by the project (including new and carryover) during the report period.
- d) **Goal-setting methodology:** Meet or exceed prior performance. If new project, the project must provide the rationale for planned goal.
 - i) Direct Housing, Rapid Re-housing, Navigator Project, Homelessness Prevention, Benefits Partnership and Outreach Specialist:
 - (1) Annual projections: based on historical trends and/or anticipated performance.
 - (a) Carryover households are those enrolled prior to 7/1/XX and anticipated to be active in the project as of 7/1/XX.
 - (b) New project entrants are those households enrolled on or after 7/1/XX.
 - (c) Total households are the sum of carryover plus new project entrants.
 - (2) Semi-annual and quarterly projections.
 - (a) Carryover households are those anticipated to be active in the project as of end of report period. For Direct Housing, this should be seasonally adjusted.
 - (b) New project entrants are those households enrolled after start of report period. For Direct Housing, this should be seasonally adjusted.
 - (c) Total households are the sum of carryover plus new project entrants.
 - ii) Emergency Shelter and Coordinated Point of Access:
 - (1) Annual projections: based on historical trends and/or anticipated performance.
 - (2) Semi-annual and quarterly projections: based on annual projections and adjusted for duplication (carryovers and recidivists). Carryover is based on capacity. Recidivism is based on historical system trends. Adjust for seasonality if appropriate.
 - iii) Permanent Supportive Housing (including Shelter Plus Care/Rental Assistance projects):
 - (1) Annual projection: Multiply the project capacity by the projected annual turnover rate. In most cases, this percentage will be 20%. For example, if project capacity is 20, then annual projected households served would be 24 ($20 \times 1.2 = 24$).
 - (2) Semi-annual projection: Multiply the project capacity by the projected semi-annual turnover rate. In most cases, this percentage will be 10%. For example, if project capacity is 20, then semi-annual projected households served would be 22 ($20 \times 1.1 = 22$).
 - (3) Quarterly projection: Multiply the project capacity by the projected quarterly turnover rate. In most cases, this percentage will be 5%. For example, if project capacity is 20, then quarterly projected households served would be 21 ($20 \times 1.05 = 21$).

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- iv) Transition Project and Transitional Housing:
 - (1) Annual projections: based on historical trends, anticipated performance and/or available funds.
 - (2) Semi-annual and quarterly projections: one-half and one-quarter of the annual projection, respectively. Alternatively, the projection may be based on historical trends for the semi-annual and quarterly report periods.
- e) **Reporting methodology:** The number of distinct households served by the project during the report period. Distinct households served are identified by their last service record for the project entered into CSP as of the end of the report period. *Note that clients served equals households served for Permanent Supportive Housing (with the exception of projects that serve families).*

18) Housing Affordability at Exit (%):

- a) **Purpose:** Indicates that project is assisting households to obtain sufficient income to attain and maintain housing. A higher rate is considered positive.
- b) **Projects:** Direct Housing, Rapid Re-housing, SSVF Projects, Permanent Supportive Housing and Homelessness Prevention (Family projects only.)
- c) **Definition:** The number or percentage of distinct households that exited the project successfully during the report period with a housing cost that doesn't exceed 50% of the household's income.
- d) **Goal-setting methodology:** Meet or exceed CSB Board Ends Policy.
- e) **Reporting methodology:**
 - Step 1: Determine the number of households that exited the project with a successful housing outcome during the reporting period.
 - Step 2: For each household, calculate the percent of household income spent on housing (and utilities, if relevant) by dividing the household's cost of rent (and utilities for Direct Housing, Prevention and Rapid Re-housing) at exit with the household's income at exit.
 - Step 3: Count the number of households that spend 50% or less of their income on housing and utilities.
 - Step 4: Divide the number in Step 3 by the number of successful housing exits in Step 1.

19) Housing Stability (Month):

- a) **Purpose:** Indicates project's success in ending homelessness as measured by length of time that project participants retain permanent supportive housing or transitional housing. A longer rate is generally considered positive for permanent supportive housing.
- b) **Projects:** Permanent Supportive Housing and Transitional Housing
- c) **Definition:** The average length of time, measured in months that distinct households reside in the Permanent Supportive Housing or the Transitional Housing unit from entry to exit or end of report period.
- d) **Goal-setting methodology:**
 - i) Permanent Supportive Housing: Meet or exceed CSB Board Ends Policy or local CoC standards; based on historical trends or anticipated performance.
 - ii) Transitional Housing: Meet or exceed local CoC standards; based on historical trends, anticipated performance and project design.
- e) **Reporting methodology:** Measured using the total average household length of stay (from entry to exit date or end of report period, if still a resident) divided by the total average days

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per month (30.5 days). Measure is not calculated for those projects undergoing initial or expansion lease up.

Step 1: Calculate the total days that each household was housed by subtracting the Entry Date from the Exit Date or end of report period for all records.

Step 2: Determine the average length of stay for all the households by dividing the sum of total days housed by the number of households served.

Step 3: Divide the average length of stay by 30.5, which is the average number of days in a month.

20) Increase in Income, from employment, from Entry to Exit (%):

- a) **Purpose:** Indicates project's success in assisting households to obtain employment income. A higher rate is considered positive.
- b) **Projects:** Permanent Supportive Housing
- c) **Definition:** The percentage of adults that increase income from employment from entry to exit.
- d) **Goal-setting methodology:** Meet or exceed HUD Standard. No variance.
- e) **Reporting methodology:** The percentage increase in the number of adults is calculated by determining the number of exited adults during the report period who had an increase in their employment income amount from entry to exit from the project and dividing by the total number of adults that exited during the report period. Income sources include only employment income. *Note: Deceased households are not included in the count of households exited.*

21) Increase in Income, other than employment, from Entry to Exit (%):

- a) **Purpose:** Indicates project's success in assisting households to obtain income. A high rate is considered positive.
- b) **Projects:** Permanent Supportive Housing
- c) **Definition:** The percentage of adults that increases income from other sources than employment, from entry to exit.
- d) **Goal-setting methodology:** Meet or exceed HUD Standard. No variance.
- e) **Reporting methodology:** The percentage increase in the number of adults is calculated by determining the number of exited adults during the report period who had an increase in their total income amount from entry to exit from the project, excluding employment income, and dividing by the total number of adults that exited during the report period. Income sources exclude employment, but may include cash benefits, or other sources. *Note: Deceased households are not included in the count of households exited.*

23) Movement (%):

- a) **Purpose:** Indicates the extent to which emergency shelter clients are migrating from one shelter project to another.
- b) **Projects:** Family Shelters, Tier 2 Shelters and Navigator Project
- c) **Definition:** All distinct households that exit a family or Tier 2 shelter during the evaluation period and then have contact with another family or Tier 2 shelter within seven (7) days of exit. The movement rate is measured by dividing the total distinct households that experience movement by the total distinct household exits during the evaluation period (relative to the project that served them).

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- d) **Goal-setting methodology:** At or below CSB Board Ends Policy. Monitored but not evaluated.
- e) **Reporting methodology:** The number of total distinct households that experience movement within 7 days / the number of total distinct household exits for the respective project during the report period (excludes exit to Maryhaven-Housing, any other shelters from Maryhaven-Safety and Front Door Shelter).

24) ***Negative Reason for Leaving (%):***

- a) **Purpose:** Low rate of negative reasons indicates project's success in stabilizing a household in housing.
- b) **Projects:** Permanent Supportive Housing and Transitional Housing.
- c) **Definition:** The percentage of households that leave housing due to non-compliance or disagreement with the housing rules.
- d) **Goal-setting methodology:** Meet or below local CoC standards.
- e) **Reporting methodology:** The percentage is calculated by determining the number of exited households during the report period who have "non-compliance with project" or "disagreement with rules/person" as their Reason for Leaving the project and dividing by the total number of households that exited during the report period. *Note: Deceased households are not included in the count of households exited.*

25) ***New Households Served (#):***

- a) **Purpose:** Indicates volume of new households served by the project which is considered to measure project efficiency.
- b) **Projects:** Direct Housing, Rapid Re-housing, Homelessness Prevention, SSVF Projects, Benefits Partnership, Outreach Specialist and Navigator Project
- c) **Definition:** Number of distinct households that *entered* the project during the report period and were not receiving services on the last day of the prior report period.
- d) **Goal-setting methodology:** Meet or exceed prior performance. If new project, the project must provide the rationale for planned goal.
- e) **Reporting methodology:** The number of distinct households with an entry date that occurs within the start and end dates of the report period.

26) ***New Households Served (%):***

- a) **Purpose:** Indicates volume of new households served by the Navigator Project which is considered to measure project efficiency.
- b) **Projects:** Navigator Project
- c) **Definition:** Percent of the sheltered single adult population served by the Navigator Project.
- d) **Goal-setting methodology:** Set by project design.
- e) **Reporting methodology:** The percent of households served by the Front Door and Tier 2 shelters within a report period with an entry date in the Navigator Project that occurs within the same start and end dates of the report period.

27) ***Pass Project Certification:***

- a) **Purpose:** Indicates project's success in ending homelessness, ability to provide resources and services to homeless persons and access and coordination to community resources and services, as needed.

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- b) **Projects:** All
- c) **Definition:** Project adheres to all applicable standards, described in the CSB Administrative and Project Standards.
- d) **Goal-setting methodology:** N/A
- e) **Reporting methodology:** Current Project Review and Certification Report.

28) Project Occupancy Rate (%):

- a) **Purpose:** Indicates efficient use of community resources. High occupancy rate indicates project efficiency at turning over units and providing project that is in demand.
- b) **Projects:** Tier 2 Shelters, Permanent Supportive Housing and Transitional Housing. Not measured for Maryhaven Engagement Center - Safety, Overflow Shelter, Front Door Shelter and for Family shelters.
- c) **Definition:**
 - i) Emergency Shelter: A percentage that reflects the average number of households that stayed in each emergency shelter per night during the report period relative to the emergency shelter's project capacity. *Note: cumulative total for households with multiple instances of service during the report period.*
 - ii) Permanent Supportive Housing and Transitional Housing: A percentage that reflects the average number of households residing in a project per night relative to the project capacity.
- d) **Goal-setting methodology:** Meet or exceed CSB Board Ends Policy, CoC local standards or prior performance. If new project, the project must provide the rationale for planned goal, including start-up.
- e) **Reporting methodology:** Total household units of service provided during the report period divided by the total days within the report period divided by the total project capacity. Measure is monitored, but not evaluated for new projects during start-up.
 - i) Emergency Shelter:
 - (1) Number: Total bedlist shelter units from the Bedlist Report or Outcomes Report for the report period / total days during the report period.
 - (2) Rate:
 - (a) Step 1: Divide the total (bedlist) shelter units for the report period by the number of days in the report period.
 - (b) Step 2: Divide the results obtained in Step 1 by the project capacity.
 - ii) Permanent Supportive Housing and Transitional Housing:
 - (1) *Number:* $\sum((\text{exit date or end of report period} - \text{entry date or beginning of report period}) + 1) / \text{days in report period}$.
 - (2) *Rate:* Project occupancy number (rounded to nearest whole number) divided by the project capacity.

22) Receipt of Mainstream Benefits at Exit (%):

- a) **Purpose:** Indicates that project is assisting households to stabilize by gaining access to public benefits.
- b) **Projects:** Permanent Supportive Housing
- c) **Definition:** The percentage of adults that received public benefits at exit as measured by receipt of noncash income at exit from the project.
- d) **Goal-setting methodology:** Meet or exceed HUD Standard. No variance.

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- e) **Reporting methodology:** Increase in Mainstream Benefits at Exit is calculated by determining the number of exited adults during the report period that have “noncash income” as their source of income) and dividing this number by the total number of adults that exited during the report period. *Note: Deceased households are not included in the count of households exited.*

25) **Recidivism (%):**

- a) **Purpose:** Indicates project’s success in ending homelessness as measured by number of households who attain housing and do not return or enter shelter subsequent to successful housing outcome. A lower rate is considered positive.
- b) **Projects:** All except Permanent Supportive Housing and Transitional Housing
- c) **Definition:** The total number of distinct households that were exited during the report period with a successful housing outcome (as defined for that project) and had any shelter contact within two weeks to three months after having exited with a successful housing outcome. This measure is expressed as a percentage of total distinct households with an exit to housing (as defined for that project). For the Homelessness Prevention projects, the number of exited households with a successful housing outcome (as defined for that project) that have any shelter contact within 1(one) year of a successful housing outcome, expressed as a percentage of total distinct households with an exit to housing (as defined for that project).
- d) **Goal-setting methodology:** Meet or below CSB Board Ends Policy or prior performance.
- e) **Reporting methodology:** A percentage rate reflecting the number of recidivist households in a project relative to the number of households that exited the project with a successful housing outcome (specific to that project). For Outreach Specialist households with exits to emergency shelter are excluded from the calculation. Recidivism rate is calculated quarterly only for emergency shelters.
 - i) $\text{Rate} = (\text{numerator}/\text{denominator}) \times 100$
 - ii) Denominator: Cohort of households which attained successful housing outcome.
 - (1) Quarterly cohort: Calculate the number of distinct households with successful housing outcome within the previous quarterly reporting period.
 - (2) Semi-annual cohort: Calculate the number of distinct households with successful housing outcome within the first 90 days of the semi-annual report period.
 - (3) Annual cohort: Calculate the number of distinct households with successful housing outcome within the first 270 days of the annual report period.
 - iii) Numerator: Number of recidivists from the above cohort
 - (1) A recidivist household is defined as a distinct household that exits a project with a successful outcome (specific to that project) and enters the emergency shelter system within two weeks to three months after exit from the project.
 - (2) Using the above cohort, calculate the number of distinct households that enters shelter system within 14 to 90 days subsequent to successful housing outcome.
 - (3) For the Homelessness Prevention projects the time-range above is replaced by 14 days to 1(one) year.

26) **Shelter Linkage (%):**

- a) **Purpose:** Indicates project’s success in referring households to appropriate emergency shelters and admitting them into shelter. A higher rate is considered positive.
- b) **Projects:** Coordinated Point of Access

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- c) **Definition:** The percentage of households that were referred for intake into emergency shelter that enter the emergency shelter within 24 hours of reservation.
- d) **Goal-setting methodology:** Meet or exceed CSB Board Ends Policy.
- e) **Reporting methodology:** Calculate the total number of households that received a referral for intake into emergency shelter. Calculate the total number of households from the referral pool that entered the respective emergency shelter (excludes Maryhaven-Safety, Maryhaven Safety2Housing, and Huck House Youth Shelter) within 24 hours of reservation. Divide the number of those that entered by the number of those that were put on the reservation list.

27) Submitted Other Applications (# and %):

- a) **Purpose:** Indicates volume of applications submitted by the project that are not SSI or SSDI, which is considered to measure project efficiency.
- b) **Projects:** Benefits Partnership
- c) **Definition:** Number of distinct households that had applications other than SSI or SSDI submitted by the project during the report period and for which case numbers have been entered into the system, if available, and the percentage this represents of total distinct households served during the report period.
- d) **Goal-setting methodology:** Meet or exceed CSB Board Ends Policy.
- e) **Reporting methodology:** The number of distinct households that have applications other than SSI or SSDI submitted within the start and end dates of the report period and for which case numbers were entered into CSP, if available. The rate is calculated by dividing the number of Submitted Other Applications by the number of distinct households that were served during the reporting period.

28) Submitted SSI/SSDI Applications (# and %):

- a) **Purpose:** Indicates volume of applications submitted by the project, which is considered to measure project efficiency.
- b) **Projects:** Benefits Partnership
- c) **Definition:** Number of distinct households that had their SSI/SSDI applications submitted by the project during the report period and for which case numbers have been entered into the system, if available, and the percentage this represents of total distinct households served during the report period.
- d) **Goal-setting methodology:** Meet or exceed CSB Board Ends Policy.
- e) **Reporting methodology:** The number of distinct households that have SSI/SSDI applications submitted within the start and end dates of the report period and for which case numbers were entered into CSP, if available. The rate is calculated by dividing the number of Submitted SSI/SSDI Applications by the number of distinct households that were served during the reporting period.

29) Successful SSI/SSDI Applications (%):

- a) **Purpose:** Indicates project's success in helping homeless households receive benefits. Successful SSI/SSDI Application % constitutes the proportion of approvals and partial approvals compared to the total number of households that received resolutions during the report period. A higher rate is considered positive.
- b) **Projects:** Benefits Partnership

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- c) **Definition:** The % of households for which SSI and/or SSDI applications that were successfully submitted received a resolution of “approved” or “partial approval”.
- d) **Goal-setting methodology:** Meet or exceed CSB Board Ends Policy.
- e) **Reporting methodology:** Calculate the total number of households that received a resolution of “approved” or “partial approval” on their SSI or SSDI applications within the report period. Divide this number by the total number of households that received a resolution on their SSI or SSDI applications within the report period (approved, partial approval or denied).

30) **Successful Diversion Outcome (# and %):**

- a) **Purpose:** Indicates project’s success in ending homelessness by linking households to appropriate community resources and not admitting them into shelter. A higher number and rate are considered positive.
- b) **Projects:** Coordinated Point of Access
- c) **Definition:** The number of distinct households that contact the Coordinated Point of Access and are diverted to other community resources and the percentage this represents of total distinct households that contact the Coordinated Point of Access during the report period.
- d) **Goal-setting methodology:** Meet or exceed CSB Board Ends Policy.
- e) **Reporting methodology:** Calculate the total number of distinct households that contact the Coordinated Point of Access and the total number of distinct household diversions that are considered successful. The latest diversion outcome during the report period will be considered. Divide the number of distinct successful diversion outcomes by the number of total distinct household that contact Coordinated Point of Access during the report period.

31) **Successful Housing Exit (%):** Refer to Table 1 and Table 2 for a complete list of housing outcomes.

- a) **Purpose:** Indicates project’s success in ending homelessness as measured by those who attain permanent, independent housing. A higher number and rate are considered positive.
- b) **Projects:** Permanent Supportive Housing
- c) **Definition:** The number of distinct households that exit the project for other permanent housing (as defined in Table 1) and the percentage this represents of total distinct households exited.
- d) **Goal-setting methodology:** Meet or exceed prior performance.
- e) **Reporting methodology:** The total number of distinct household exits during the report period with destinations that are considered successful housing outcomes divided by the total number of distinct households exited during the report period. *Note: Deceased households are not included in the count of households exited.*

32) **Successful Housing Outcome/Successful Outcome (# and %):** Refer to Table 1 and Table 2 for a complete list of housing outcomes.

- a) **Purpose:** Indicates project’s success in ending homelessness. A higher number and rate are considered positive.
 - i) Permanent Supportive Housing: Indicates project’s success in ending homelessness as measured by those who retain permanent housing or attain other permanent housing.
 - ii) Transitional Housing: Indicates project’s success in ending homelessness as measured by those who attain permanent housing.

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- iii) Outreach Specialist: Indicates project's success in linking households to appropriate next step housing which includes shelter, transitional and permanent housing for successful outcomes and transitional and permanent housing only for the successful housing outcomes.
 - iv) Emergency Shelter: Indicates project's success in linking households to appropriate next step housing which includes direct housing/rapid re-housing, transitional and permanent housing.
 - v) Kinship Care: Indicates project's success in ending homelessness as measured by those who remain stable with the host family for long term, or those who attain other permanent housing.
 - vi) Front Door and Safety Shelters: Indicates project's success in linking households to appropriate services as measured by exiting clients to Tier 2 shelter or other permanent destinations for successful outcomes.
 - vii) All other: Indicates project's success in ending homelessness as measured by those who attain other permanent housing.
- b) **Projects:** All except Overflow Shelter
- c) **Definition:**
- i) Successful Housing Outcomes for all projects except for Outreach Specialist and Permanent Housing projects: The number of distinct households that exit during the report period (i.e., latest exit for households with multiple stays during report period) to successful housing as defined in Table 1 and the percentage this represents of total distinct households exited during the report period.
 - ii) Successful Outcomes for Front Door Shelter: The number of distinct households that exit during the report period (i.e., latest exit for households with multiple stays during report period) successfully to Tier 2 shelters or permanent housing as defined in Table 1 and Table 2 and the percentage this represents of total distinct households exited during the report period.
 - iii) Successful Outcomes for Kinship Care project: The number of distinct households that remain stable with the host family for long term, permanently or that attain other permanent housing as defined in Table 1 and Table 2 and the percentage this represents of total distinct households exited during the report period.
 - iv) Successful Outcomes/Successful Housing Outcomes for Outreach Specialist:
 - (1) Successful outcomes are the number of distinct households that exit during the report period (i.e., latest exit for households with multiple stays during report period) successfully to shelter, transitional or permanent housing as defined in Table 1 and Table 2 and the percentage this represents of total distinct households exited during the report period.
 - (2) Successful housing outcomes are the number of distinct households that exit during the report period (i.e., latest exit for households with multiple stays during report period) to successful housing as defined in Table 1 and the percentage this represents of total distinct households with a successful outcome.
 - v) Successful Housing Outcomes for Permanent Supportive Housing project: the number of distinct households that remain in the Permanent Supportive Housing project or that exit the project during the report period for other permanent housing (as defined in Table 1) and the percentage this represents of total distinct households served.
- d) **Goal-setting methodology:** Meet or exceed CSB Board Ends Policy, HUD Standards or prior performance.

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- i) Direct Housing, Rapid Re-housing, Navigator Project, Homelessness Prevention, and Transitional Housing: Multiply the percentage goal by the projected number of exited households.
 - ii) Front Door Shelter and Kinship Care: Successful outcomes: Multiply the percentage goal by the projected number of exited households to destination defined in Table 1 and 2.
 - iii) Outreach Specialist:
 - (1) Successful outcomes: Multiply the percentage goal by the projected number of exited households with destination defined in Table 1 and 2.
 - (2) Successful housing outcomes: Multiply the percentage goal by the projected number of successful outcomes.
 - iv) Emergency Shelter: Number of successful housing outcomes equals rate times number of exits.
 - v) Permanent Supportive Housing and Transition Project: Multiply the percentage goal by the projected number of households served.
- e) **Reporting methodology:**
- i) Successful Housing Outcomes for all projects excluding Permanent Supportive Housing, and Outreach Specialist: Calculate the total number of distinct household exits during the report period and the total number of destinations that are considered successful housing outcomes. Divide the number of successful housing outcomes by the number of total exits during the report period.
 - ii) Successful Outcomes for Front Door Shelter and Kinship Care: Calculate the total number of distinct household exits during the report period and the total number of destinations that are considered successful shelter and housing outcomes per Table 1 and Table 2. Divide this number of successful outcomes by the number of total exits during the report period.
 - iii) For Outreach Specialist:
 - (1) Successful outcomes: Calculate the total number of distinct household exits during the report period and the total number of destinations that are considered successful shelter and housing outcomes per Table 1 and Table 2. Divide this number of successful outcomes by the number of total exits during the report period.
 - (2) Successful housing outcomes: Calculate the total number of successful outcomes (above) and the total number of destinations that are considered successful housing outcomes (please refer to Table 1). Divide the number of successful housing outcomes by the number of total successful outcomes.
 - iv) For Permanent Supportive Housing: Sum the total number of distinct household exits during the report period with destinations that are considered successful housing outcomes and the number residing in Permanent Supportive Housing at the end of the report period. Divide the number of successful housing outcomes by the total number of distinct households served during the report period. *Note: Deceased households are not included in the count of households served.*

33) **Turnover Rate (%):**

- a) **Purpose:** Turnover rate indicates the project's effectiveness in providing stable housing. Rate is monitored, but not evaluated.
- b) **Projects:** Permanent Supportive Housing

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- c) **Definition:** The rate at which units become vacant relative to the project capacity. Monitored, but not evaluated.
- d) **Goal-setting methodology:** Set based on prior performance. For new projects, CSB estimates the following turnover rates: Annual rate: 20%; Semi-annual rate: 10%; Quarterly rate: 5%.
- e) **Reporting methodology:** Turnover rate is calculated by dividing the total number of distinct household exited during a report period by the project capacity during the same report period.

34) ***Usage of CSB Direct Client Assistance (DCA) (# and %):***

- a) **Purpose:** Indicates that project is assisting households to access DCA and obtain housing. A higher number/rate of access is considered positive.
- b) **Projects:** Outreach Specialist, Family shelters, Direct Housing, Rapid Re-housing, Navigator Project, SSVF projects, Homelessness Prevention and Transition Project.
- c) **Definition:** The number of exited distinct households receiving either Transition DCA during the report period or Rapid Re-housing/ Direct Housing/Prevention DCA during and/or for up to 90 days prior to or after the report period, and the percentage this represents of total distinct household exits during the report period.
- d) **Goal-setting methodology:** Meet or exceed CSB Board Ends Policy; based on historical trends, anticipated performance and/or project design.
- a) **Reporting methodology:** The total number of exited distinct households that received CSB DCA during the report period. For rapid re-housing/direct housing/prevention, (DCA received up to 90 days prior to or after the report period included) / total number of distinct households served that exited the system during the report period.

35) ***Usage of CSB Direct Client Assistance (DCA) (Average \$ Amount per Household):***

- a) **Purpose:** Indicates that project is cost-efficient in accessing DCA. A lower average amount per household indicates that project has leveraged other community resources.
- b) **Projects:** Direct Housing, Rapid Re-housing, Homelessness Prevention and Transition Project.
- c) **Definition:** The average dollar amount of total CSB direct client assistance received per distinct household during the report period.
- d) **Goal-setting methodology:** Based on historical trends, anticipated performance, available resources and project design.
- e) **Reporting methodology:** Total monetary assistance awarded to all households during report period / total number of distinct households served that received assistance.

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Table 1: Successful Housing Outcomes (see above item 31 and 32)

HUD Destination	Does Head of household Control Housing? ⁷	Successful Housing Outcome?
1 = Emergency shelter, including hotel or motel paid for with emergency shelter voucher (including a youth shelter, or campground paid for with emergency shelter voucher)	No	No
2 = Transitional housing for homeless persons (including homeless youth) - Huckleberry House – Transitional Living Program, Maryhaven - Women’s program, Southeast -New Horizons Transitional Housing, VOAGO Veterans Program, YMCA ADAMH Program	Varies	No (Except for Emergency Shelters and Outreach)
3 = Permanent supportive housing for formerly homeless persons (such as: CoC Project; or HUD legacy programs; or HOPWA PH) all Rebuilding Lives and CoC projects, HOME, HUD, CSB subsidized	Yes	Yes
4 = Psychiatric hospital or other psychiatric facility	No	No
5 = Substance abuse treatment facility or detox center	No	No
6 = Hospital or other residential non-psychiatric medical facility	No	No
7 = Jail, prison or juvenile detention facility	No	No
10 = Rental by client, no ongoing housing subsidy privately owned, market rent housing	Yes	Yes
11 = Owned by client, no ongoing housing subsidy	Yes	Yes
12 = Staying or living with family, temporary tenure (e.g., room, apartment or house)	No	No
13 = Staying or living with friends, temporary tenure (e.g., room, apartment or house)	No	No
14 = Hotel or motel paid for without emergency shelter voucher	No	No
15 = Foster care home or foster care group home	No	No
16 = Place not meant for habitation (e.g., a vehicle, an abandoned building, bus/train/subway station/airport or anywhere outside)	No	No
17 = Other	No	No
18 = Safe Haven	No	No
19 = Rental by client, with VASH subsidy -Veterans Affairs Supportive Housing (VASH)	Yes	Yes
20 = Rental by client, with other ongoing housing subsidy	Yes	Yes
21 = Owned by client, with ongoing housing subsidy	Yes	Yes
22 = Staying or living with family, permanent tenure	Yes¹	Yes
23 = Staying or living with friends, permanent tenure	No	No (except for Huckleberry House)
24 = Deceased	No	No
25 = Long-term care facility or nursing home	No	No
26 = Moved from one HOPWA funded project to HOPWA PH	Yes	Yes
27 = Moved from one HOPWA funded project to HOPWA TH	No	No
28 = Rental by client, with GPD TIP housing subsidy	Yes	Yes
29 = Residential project or halfway house with no homeless criteria	No	No

⁷ Heads of household are determined to be in control of their housing if the lease/ mortgage is in their name or if they otherwise have a written agreement that gives them a right to reside in their housing, such as a roommate agreement.

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HUD Destination	Does Head of household Control Housing? ⁷	Successful Housing Outcome?
30 = No Exit Interview Completed	No	No
8 = Client Doesn't Know	No	No
9 = Client Refused	No	No
99 = Data Not Collected	No	No

In addition to the outcomes specified in Table 1 for successful housing outcomes, the outcome listed in Table 2 is considered successful for the Successful Outcome indicator.

Table 2: Successful Outcomes (applies only to Front Door and Safety Shelters, Outreach Specialist and Kinship Care project)

HUD Destination	Successful Outcome? (Front Door /Safety Shelters)
1 = Emergency shelter, including hotel or motel paid for with emergency shelter voucher	Yes

HUD Destination	Successful Outcome? (Outreach specialist)
1 = Emergency shelter, including hotel or motel paid for with emergency shelter voucher	Yes
2 = Transitional housing for homeless persons (including homeless youth) - New Horizons, VOAGO Veterans, YMCA ADAMH Program	Yes
15 = Foster care home or foster care group home	Yes
18 = Safe Haven	Yes
22 = Staying or living with family, permanent tenure	Yes
23 = Staying or living with friends, permanent tenure	Yes

HUD Destination	Successful Outcome? (Kinship)
22 = Staying or living with family, permanent tenure	Yes
23 = Staying or living with friends, permanent tenure	Yes

Additional Definitions

Benefits Partnership

- < Designed to improve financial stability for low income individuals and families by removing barriers experienced in accessing Social Security Administration programs (SSI/SSDI) and other benefits.
- < By strengthening collaborations between existing community resources and providing five mobile benefit specialists to work with clients in accessing benefits, the program supports the development of a stable source of resources for low income clients by working with them to complete and file successful applications.
- < Immediate gains are self sufficiency, a steady income and health coverage – resulting in greater financial stability.
- < This represents a strategy per the Rebuilding Lives Plan.

Collaborative Outreach Program

- < Outreach Specialists provide services for individuals experiencing street homelessness, including assistance in addressing basic needs, such as access to temporary and permanent housing, as quickly as possible.
- < Services may include engagement, advocacy, case management, linkage to emergency shelters, and linkage to financial assistance, housing placement assistance, and aftercare services to prevent loss of housing.

Coordinated Point of Access

- < A common point of contact for homeless single adults experiencing a housing crisis, to increase diversion and prevention.
- < The goal is to decrease the number of single adults admitted to the system and to increase the number of single adults that successfully exit the system. Part of this plan is to be achieved through the implementation of a centralized community system for diversion/prevention and exiting/rapid re-housing.
- < Creates a common language and message from the adult system and creates a single voice for availability of beds.
- < Reduces clients having to endure multiple triages and intakes and decreases the need to refer clients to multiple shelters.
- < Reduces client manipulation of the system and increases communication between shelters.
- < This represents a strategy per the Rebuilding Lives Plan.

Direct Client Assistance

- < Short-term financial assistance (Direct Client Assistance) to assist homeless individuals or families with rent, utilities, moving and other housing related costs associated with long-term affordable housing.
 - < Assistance used to secure permanent housing that the family or individual locates, with or without assistance from a shelter or outreach provider.
 - < Direct Client Assistance is administered by CSB. Application for Direct Client Assistance submitted to CSB through shelter or outreach provider.
- A standard lease is the norm. Tenant landlord laws apply.

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Direct Housing/Rapid Re-Housing

- < Permanent housing generally provided in private market apartments. Residents can live in housing indefinitely; there is no limit on the length of stay.
- < Services are initiated while families or single individuals are in emergency shelter, with an emphasis on rapid housing placement.
- < Services are provided for a limited length of time..
- < Services are individualized to the household's needs and geared toward stabilization within the community.
- < Interim financial assistance (Direct Client Assistance) is provided to assist with rent, utilities and other housing related costs.
- < A standard lease is the norm. Tenant landlord laws apply.

Diversions

- < A point-in-time activity where shelter staff provide information about community resources to help the family or individual avoid shelter admission.
- < Occurs at emergency shelters at the time of request/inquiry for shelter admission.
- < Successful diversion results in more efficient use of community resources and reduces demand for shelter.
- < Diversion has been identified nationally as a key strategy in effective homeless systems.

Homelessness Prevention

- < Designed to assist families and individuals who are at imminent threat of homelessness and at risk of entering shelter or being unsheltered.
- < Services may include financial assistance, case management, landlord mediation, budgeting assistance, information and referral, advocacy, and assistance with accessing other housing and financial resources.
- < Provided through neighborhood-based community agencies.
- < Provides an efficient means for stabilizing households threatened with eviction or otherwise in need of financial assistance to obtain permanent housing. As a result, the demand on more expensive emergency shelter resources is effectively reduced.

Permanent Supportive Housing

- < Long-term subsidized housing designed to provide sufficient flexible supports to tenants to ensure housing stability.
- < Tenants can live in indefinitely; there is no limit on the length of stay.
- < Must have at least one family member with a disability.
- < Services are individualized to the tenant, and the type and frequency usually change over time as the tenant's needs change.
- < Programs usually include a range of support services that enable tenants to live independently and work toward realizing their full potential.
- < Services may be on- or off-site and may include any combination of the following: case management; healthcare; employment services, training and job placement; recovery services and support groups; independent living skills training.
- < There is an emphasis on movement to more independent housing as tenants stabilize and are able to remain in housing with less intensive support.
- < Income eligibility criteria are set for subsidized units.
- < Tenants must meet Rebuilding Lives or chronic homeless criteria for eligibility.
- < A standard lease is the norm. Tenant landlord laws apply.

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Program Certification

- < Shelter Certification Standards were developed by a community advisory committee and endorsed by the CSB board in February of 2000. CSB staff has since modified the Standards to apply to housing and other programs.
- < Now simply called the Administrative and Program Standards, these standards are an integral component of CSB's funding awards. The Program Review and Certification process assures the quality, efficiency, and effectiveness of CSB-funded services.
- < The Administrative and Program Standards represent monitoring of the following areas:
Organizational Structure and Management; Compliance with Federal, State and Local Laws; Personnel; Fiscal Administration; Program Operations; Data Collection and HMIS; Evaluation; Consumer Involvement; Community Relations and Good Neighbor Agreements; Facility Standards; Safety Standards; and Security Plan.