

Process to Apply Standards - RPC

Current system

Standards for Evaluation

RPCs are renewed if they meet minimum standards (see attached standards) - all RPCs receive the same \$\$

Renewal/Allocation of Funds

All organizations not in default are automatically renewed

and funds are divided up evenly among RPCs.

Performance Rewards

None. NPCs/RPCs not in default can get incentive grants when they are made available.

(technology grants in 2000; Conference Grant in 2004)

Reporting Procedures

ARF - Organizations produce a Work Plan Each Year specifically for DHCR.

Work Plan Mod - If they cannot complete the work plan they can change the work plan up until the 4th Quarter

Annual Report - At end of the year RPCs demonstrate their modified work plan is "substantially complete."

CAFR - RPCs submit form outlining how NPP/RPP money was spent at the end of the contract.

Proposed

Standards for Evaluation

RPCs are certified every 3 years based on submission of a standardized needs assessment and strategic plan, plus a regional office review to insure compliance with revised standards (see attached)
RPCs should receive a pre-certification review at least 6 months before certification. Those RPCs found to be non compliant in pre-cert. should be referred to Coalition for TA.
Target Date for first Certification is 2008-09

Renewal/Allocation of Funds

RPCs are evaluated in recertification using four categories:

1. Unacceptable/Non compliant (U)
2. Meets minimum standards (M)
3. Exceeds Standards (E)

Performance Rewards

RPCs that receive one or more "Es" during re-certification are eligible for additional performance reward funding based on priorities set by the Regional Office and availability of funds.

Reporting Procedures

Annual Results Report - RPCs submit a report

at the end of each year detailing outputs and progress towards achieving their Strategic Plan.

Impact Report - At the end of three years, RPCs

total their final production for the current Strategic Plan and analyze any long-term impacts/outcomes

Strategic Plan Modification - At any point during the 3 years, RPCs can modify their Strategic Plan for one of the following reasons: unforeseen need; unforeseen opportunity; loss of key staff or funding; other unforeseeable obstacles.

Process to Apply Standards - RPC

Reporting Data

RPCs report only on work that their NPP/RPP allocation pays for within their service area.

Strategic Planning/Needs Assessment

Needs Assessments and Strategic Plans were required in 2002. No consistent connection is made between those two documents and DHCR's review of the work plan, and no format was prescribed.

Consequences for Non Performers

Default - RPCs who fail to meet minimum standards or submit required reporting documents are placed in default - they have 30 days to cure and are not paid until default is cured.

Probation - If the work plan is considered substantially incomplete with extenuating circumstances (**performance probation**), or if there are monetary or budget issues (**fiscal probation**) a group can be placed on probation. If they fail to meet terms of probation, they may be terminated.

Termination - If the group does not satisfy a default or probation

Appeals - RPCs can appeal to Regional Director of Appeals Board

Appeal Board consists of DHCR CD + representation from Coalitions.

Appeal must show termination is inconsistent with the statute, rules and regs or manual or that DHCR has inappropriately discharged its duties in this matter

Consolidation

Process - No process in place for consolidating contracts

Incentives - No financial incentives exist for consolidating contracts.

Incentives - No financial incentives exist for consolidating contracts

Annual Audit - RPCs must submit their annual audit, which will include a details on how program funds were spent the previous year.

Reporting Data

The Results report includes a column for work done outside the NPP/RPP allocation.

Strategic Planning/Needs Assessment

DHCR will provide standardized forms for needs assessments and Strategic Plans every 3 years. The format will be based on the Program Logic Model. RPCs will be required to examine and prioritize a full range of housing and community needs in their service area.

Consequences for Non Performers

Pre-certification findings - RPCs that receive a "U" on any category during their pre-certification review will be referred for technical assistance.

Failure to certify - RPCs that receive a "U" on any category during their recertification will be removed at that time.

Default - RPCs found to be in violation of any basic statutory requirements at any time besides recertification will be placed in default and given 30 days to cure.

Termination - If the group does not satisfy a default or fails recertification.

Appeals - RPCs can appeal first to Regional Director and then may appeal to Appeals Bd. (DHCR and Coalitions) Appeal must show termination is inconsistent with the statute, rules and regs or manual or that DHCR has inappropriately discharged its duties in this matter

Consolidation

RPCs who are willing to merge should be funded at a level up to twice the base annual funding cap at a permanent level negotiated with the Commissioner

Process to Apply Standards - RPC

Duplication of Services

Overlapping Service Areas - Service areas presently overlap; no mechanism in place to evaluate

Duplicating Services - Each group is evaluated individually; no analysis of overlaps or gaps.

Working Outside Service Area

RPCs cannot report or get credit for work outside their service area.

Some incentives have been provided to serve areas by group that was defunded.

Expanding Boundaries

RPCs must determine the area meets criteria (low-income, etc.)

The Group requests to the Region to extend boundary by Census Tracts;

DHCR reviews to make sure there is not another group working there.

Process for bringing in new RPCs

If a group is terminated, DHCR can issue a request for proposals for that service area.

Duplication of Services

RPCs must demonstrate during recertification that they are not duplicating services.

Working Outside Service Area

Rules for the expansion of Service Areas will be clarified.

Work outside the service area will only be included for evaluation if the group can demonstrate an unmet need and a good faith effort to collaborate with any other NPCs/RPCs in that area.

A written MOU is required and/or written correspondance is required.

Expanding Boundaries

RPCs must determine the area meets criteria (low-income, etc.)

The Group requests to the Region to extend boundary by Census Tracts;

DHCR reviews to make sure there is not another group working there.

Process for bringing in new RPCs

RFP - For RPCs that are decertified/terminated, DHCR will issue an RFP for the service area, filled either by a new group or the expansion of an existing group. When an existing group expands, DHCR will negotiate a revised funding level based on value of work to be completed.

Standards - RPC

Current system	Proposed
<p>Application of Standards</p> <p>RPCs are evaluated based on minimum standards. Those that meet the standards receive the same baseline funding; RPCs that exceed the standards receive the same funding as RPCs that just meet the minimum.</p>	<p>Application Of Standards</p> <p>RPCs are evaluated in recertification every three using four categories:</p> <ol style="list-style-type: none"> 1. Unacceptable/Non compliant (U) 2. Meets minimum standards (M) 3. Exceeds Standards (E)
<p><u>Standards</u></p> <p>Board Participation</p> <p>Majority of Board members Reside in the Service Area No fewer than 5 members RPP No fewer than 7 members NPP Board of Directors checklist requirements</p> <p>Citizen Participation</p> <p>RPC must host an Annual Meeting</p> <p>Capacity</p> <p>RPC must hire staff, preferably from the neighborhood. RPC must have an office in service area RPC must have an office accessible to area</p>	<p><u>Standards</u></p> <p>Board Participation</p> <p>Majority of Board members Reside in the Service Area (M) No fewer than 5 members RPP (M) No fewer than 7 members NPP (M) Board of Directors checklist requirements (M) <i>The board represents the demographics of the service area (E)</i> <i>There is an ongoing system to recruit new board members (E)</i> <i>Board members help create and implement the Strategic Plan. (E)</i> <i>Board members have a range of skills and utilize those skills to contribute to the RPC (E)</i></p> <p>Citizen Participation</p> <p>RPC must host an Annual Meeting consistent with its by-laws (M) <i>The RPC publishes & circulates a newsletter (E)</i> <i>The RPC has an up to date web site (E)</i> <i>Residents are actively engaged in Strategic Planning (E)</i> <i>The RPC attempts to participate in regional and/or local planning and policy making. (E)</i></p> <p>Capacity</p> <p>RPC must hire staff, preferably from the service area (M). RPC must have an office in service area (M) RPC must have an office accessible to area (M) <i>Staff is certified and credentialed (E)</i> <i>Technology is updated on an ongoing basis (E)</i></p>

Standards - RPC

Performance and Production

Work Plan each year must be substantially complete
1/3 Match of NPP/RPP Dollars

Must demonstrate "significant impact"

Oversight/Risk Management

RPC must submit CAFR at end of contract
RPC must submit ARF and Annual Report on time
RPC must have appropriate insurance
RPC must have conflict of interest statement up to date
RPC must be up to date on all federal and state tax filings
Annual Performance Report/Annual Performance Checklist
Fiscal Monitoring Checklist requirements

Strategic Planning/Needs Assessment

Last required to be submitted in 2003

Other

Performance and Production

1/3 Match of NPP/RPP Dollars (M)
Must demonstrate "significant impact," defined as making a measureable impact on the needs outlined in its needs assessment, as per the RPC's Strategic Plan.
RPC must show progress towards achieving strategic plan each year (M)
RPC can demonstrate that the current Strategic Plan will make a significant impact on its community's needs (M)
RPC can demonstrate impacts and outcomes over the past 3 years with hard data (E)
The RPC is leveraging dollars above the minimum from a variety of public and private sources (E)
The RPC is utilizing other state and federal (E) resources and programs (E)
The RPC is offering a wide ranging, comprehensive range of services over a diverse population and/or a complex geography. (E)

Oversight/Risk Management

RPC must submit an annual audit with no materials findings (M)
RPC must have appropriate insurance (M)
RPC must have conflict of interest statement up to date (M)
RPC must be up to date on all federal and state tax filings (M)
Annual Performance Report/Annual Performance Checklist (M)
Fiscal Monitoring Checklist requirements (M)
A succession policy is in place for key staff (E)
A risk management policy is in place for real estate and affordable housing activities. (E)

Strategic Planning/Needs Assessment (M)

Needs Assessment and Strategic Plan must be submitted every 3 years; Strategic Plan must include the following:
1. Review and prioritization of all housing and community renewal needs. (M)
2. An outline of which needs the RPC will address and how they will address them (M)

Standards - RPC

None

3. A list of potential partners who will address needs not met by the RPC. (M)
4. An Action plan outlining projected outputs(M)
5. A resource plan and projected budget (M)
6. Staffing Plan and list of board members. (M)
7. A organizational logic model outlining potential impacts (M)
8. Duplication and Overlap - A review of other RPCs providing similar services and/or working in the same area, and an explanation of how they fit together and collaborate. (M)
9. *Revitalization Plan - For RPCs doing village or neighborhood revitalization, a plan that outlines a vision for the neighborhood and describes assets. (E).*
10. *Collaboration - The RPC has a plan to maximize efficiency and enhance service by working together with other NPCs, RPCs and other applicable partners. (E)*

Appeals - Groups can appeal first to the Regional Director and then may have that decisions ruled on by the Appeals Board consisting of DHCR CD + representation from Coalitions.