CoC Funded Non-VSP, HMIS Lead, CES Lead Program Monitoring Tool

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| **Approved Performance & Compliance Committee: 2.17.2022** | **Approved Steering Committee: 2.18.2022** |
| **Revised Performance & Compliance Committee: 1.18.2024** | **Revised Steering Committee: 1.19.2024** |

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| **Agency Name:** | **Project Name:** | **Project Type:** |
| **Grant Term (1yr or 2yrs):** | **Grant Number:** | **Grant Amount:** |
| **Expiration Date:** | **Date APR is Due to HUD:** | **APR Submitted:** |
| **Date of Monitoring Visit:** | **KSHC Staff:** |  |
| **Other (amended grant dates/amounts):** |

\*\*3-Point Scoring Scale\*\*

 \*Meets: 3 points

 \*Meets but Needs Improvement: 2 points

 \*Does Not Meet: 1 point

 \*N/A: Section Not Counted Towards Score

\*\*KEY & GLOSSARY\*\*

1. **Meets: Agency adequately provided KSHC monitoring staff with required documentation**
2. **Meets but Needs Improvement: Agency provided KSHC monitoring staff with required documentation, however documentation has missing elements.**
3. **Does Not Meet: Agency provided documentation does not meet monitoring requirements, or documentation was not provided.**
4. **NA: Documentation is not required due to project type or other reasoning**
5. **Agency Leasing: Project type requires specific documentation between Program Agency and Landlord**
6. **Participant Rental: Project type requires specific documentation between Program Participant and Landlord**

\*When Providing Documentation on Paper, Please Provide the Following Information (Excluding Client Files) Inside a 3-Ring Binder Tabbed by Sections Listed in the Tool.

\*When Providing Documentation Electronically, Please Provide the Following Information (Excluding Client Files) In a Zip Folder Labeled by Sections Listed in the Tool.

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| **General Recordkeeping** | **1****Meets** | **2****Meets but needs Improvement** | **3****Does Not Meet** | **4****N/A** | **COMMENTS** |
| Executed Grant Agreement**24 CFR 578.23(c)** |  |  |  |  |  |
| Documentation of Grant Amendment (request and approval, if applicable)**24 CFR 578.105** |  |  |  |  |  |
| Executed Grant Agreements with Subrecipients**24 CFR 578.23(c)(ii)** |  |  |  |  |  |
| Documentation subrecipients are not debarred.**24 CFR 578.23(c)(4)(v)** |  |  |  |  |  |
| Documentation of annual monitoring of Subrecipients**24 CFR 578.23(c)(8)** |  |  |  |  |  |
| Project Application should be maintained - ensure costs charged against the grant are consistent with the approved budget items identified in the application.**24 CFR 578.59(a)** |  |  |  |  |  |

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| Documentation that Annual Performance Report was submitted timely.**24 CFR 578.103(e)** |  |  |  |  |  |
| Written CoC Program Policies and Procedures to include:**24 CFR 578.103(a)** |  |  |  |  |  |

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| Intake/screening procedures**24 CFR 578.103(a)(3) and (4)** |  |  |  |  |  |
| Personnel Policies and Procedures**24 CFR 200.303, and 24 CFR 578.103(a)** |  |  |  |  |  |
| Termination Policy**24 CFR 578.91** |  |  |  |  |  |
| Grievance Policy**24 CFR 578.91** |  |  |  |  |  |
| Policy Privacy/Confidentiality Policy**24 CFR 578.103(b)** |  |  |  |  |  |
| Drug-Free Workforce Policy**24 CFR 5.105(d), 24 CFR 2424, 24 CFR****225** |  |  |  |  |  |
| Policy identifying the involvement of homeless/formerly homeless individuals in decision making roles.**24 CFR 578.23(c)(3)** |  |  |  |  |  |
| Domestic Violence Policy (Including VAWA (Violence Against Women Act) and Emergency Transfer Plan)**24 CFR 578.23(c)(4)(i)(ii), 24 CFR****578.103(a)(17), 24 CFR 5.2005, 24 CFR 576.409** |  |  |  |  |  |

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| Housing First Policy (Note: CoC funded agencies will participate in an individual Housing First monitoring interview during the monitoring process) **HUD CPD (Community Planning and Development) Notice 14-02** |  |  |  |  |  |
| Proof of a designated staff person for student enrollment**24 CFR 578.23(c)(4)(iv)** |  |  |  |  |  |
| Documentation of participation of homeless/formerly homeless individuals in policymaking decisions**24 CFR 578.75(g)(1)** |  |  |  |  |  |
| Documentation of compliance with environmental review requirements**24 CFR 578.99, 24 CFR 578.31** |  |  |  |  |  |
| Documentation of compliance with fair housing requirements**24 CFR 578.87(b), 24 CFR 578.103(a)(14)****and (17), 24 CFR 578.93(c)(1)** |  |  |  |  |  |
| Documentation of other federal requirements (i.e., lead based paint, Section 3, Section 504), if applicable**24 CFR 578.99, 24 CFR 35, 24 CFR****578.99(b)** |  |  |  |  |  |
| Executed Memorandum of Understanding with KSHC as Collaborative Applicant **24 CFR 578.73(c)(3)** |  |  |  |  |  |
| Documentation of Self-Monitoring**24 CFR 578.107** |  |  |  |  |  |

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| **Miscellaneous** | **1****Meets** | **2****Meets but needs Improvement** | **3****Does Not Meet** | **4****N/A** | **Comments** |
| Proof of more than 1 user in E-SNAPS |  |  |  |  |  |
| Homeless Participation (Provide evidence that those with lived experience of homelessness within the last 7 years have a voice in decision-making or the agency has a HUD approved alternate plan.**FY23 NOFO Question 1D-11a.b.c.** |  |  |  |  |  |
| Racial Equity Participation and voice in decision-making or the agency has a HUD approved alternate plan)**FY23 NOFO Question 1D-10a.b.c.d.** |  |  |  |  |  |
| Equity Participation (Provide evidence that those who identify as LGBTQ+ have a voice in decision-making or the agency has a HUD approved alternate plan)**FY23 NOFO Question, 1C-6a** |  |  |  |  |  |
| Proof that all CoC Program Staff have accounts for the HUD-Exchange and has an understanding of how to use the HUD-Exchange |  |  |  |  |  |
| CoC Program Staff Training Procedures, Protocols, Processes  |  |  |  |  |  |

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| **Financial Files** | **1****Meets** | **2****Meets but needs Improvement** | **3****Does Not Meet** | **4****N/A** | **Comments** |
| Succession Policy for eLOCCS PrimaryUser and Authorizing Official |  |  |  |  |  |
| Written Financial Policies**24CFR 200.302, 24 CFR 578.23(c)(5), 24 CFR 578.103(a** |  |  |  |  |  |
| Written Procurement Procedures**24CFR 200.318 and 2 CFR 200.319** |  |  |  |  |  |
| Written Conflicts of Interest Policy **24CFR 200.317 and 2 CFR 200.318, 24 CFR 578.95(a)** |  |  |  |  |  |
| Documentation of match (25% of total Grant Amount less leasing)**24 CFR 578.73(a)** |  |  |  |  |  |
| Documentation of Grant Expenditures (during grant term and for approved items in application) **24 CFR 578.37, 24 CFR 578.103** |  |  |  |  |  |
| Documentation of Indirect Cost Rate Proposal, if applicable**24 CFR 578.63(b), 24 CFR****578.103(a)(17)** |  |  |  |  |  |
| Documentation showing compliance with the Single Audit Act**24 CFR 578.99(g), 2 CFR 200 subpart F** |  |  |  |  |  |

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| Documentation showing quarterly draw requests.**24 CFR 578.85(c)(3)** |  |  |  |  |  |
| Documentation showing program income was expended prior to HUD draw requests if applicable**24 CFR 578.97(b)** |  |  |  |  |  |

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| **HMIS Compliance** | **1****Meets** | **2****Meets but needs Improvement** | **3****Does Not Meet** | **4****N/A** | **COMMENTS** |
| KSHC Ks-BoS CoC HMIS (Homeless Management Information System) Clarity End User Security and Privacy Agreements for all HMIS users (please complete online training and submit agreement throughClarity) |  |  |  |  |  |
| Current list of Clarity users |  |  |  |  |  |
| Agency uses the CoC HMIS Standardized Release of Information (located in Clarity)applicable to its level of sharing and is consistent in collecting with clients |  |  |  |  |  |
| Completed required annual training and have documentation of training for all users |  |  |  |  |  |
| If using comparable database, does it comply with HUD’s HMIS requirements? |  |  |  |  |  |

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| **Client Files** | **1****Meets** | **2****Meets but needs Improvement** | **3****Does Not Meet** | **4****N/A** | **COMMENTS** |
| Documentation participants are entered into HMIS or a comparable database**24 CFR 578.103(a)(3)** |  |  |  |  |  |
| Documentation participant was screened via centralized or coordinated assessment systems**24 CFR 578.23(c)(9)** |  |  |  |  |  |
| Documentation of Homelessness at intake**24 CFR 578.103(a)(3)** |  |  |  |  |  |
| Permanent Supportive Housing - Documentation of disability**24 CFR 578.37(a)(i)** |  |  |  |  |  |
| Transitional Housing- No more than 24 months of services provided except under documented extenuating circumstances**24 CFR 578.79** |  |  |  |  |  |
| Documentation of ongoing assessment of services**24 CFR 578.75(e)** |  |  |  |  |  |
| Initial Documentation of examination of income at Intake**24 CFR 578.103(a)(7)(i)** |  |  |  |  |  |
| Documentation of examination of income at Recertification**24 CFR 578.103(a)(7)(i)** |  |  |  |  |  |

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| Documentation of initial and follow-up Housing Quality Standards inspections**24 CFR 578.75(b)(2)** |  |  |  |  |  |
| Documentation that the unit/structure is not owned by recipient or subrecipient**24 CFR 578.49(a)** |  |  |  |  |  |
| *5Agency Leasing*- Documentation lease is between agency and landlord (if applicable)**24 CFR 578.49(b)(5)** |  |  |  |  |  |
| *5Agency Leasing*- Documentation of occupancy agreement, lease or sublease for individual units (if applicable)**24 CFR 578.103(a)(17)** |  |  |  |  |  |
| *5Agency Leasing-* Documentation of rent reasonableness for the period of approval for an assisted unit**24 CFR 578.49(b)(1)** |  |  |  |  |  |
| Rents charged (including utilities) do not exceed HUD-Fair Market Rents**24 CFR 578.49(b)(2)** |  |  |  |  |  |
| Documentation supporting the correct/current utility allowance schedule is used**24 CFR 578.103(a)(17), 24 CFR****578.49(a)(3)** |  |  |  |  |  |
| Documentation of occupancy charges with annual income calculations**24 CFR 578.77, 24 CFR 578.99(b (6)** |  |  |  |  |  |

CoC Funded (Non-VSP) Program Monitoring Tool

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| Documentation the participant has an executed lease agreement with the landlord.**24 CFR 578.77, 24 CFR 578.51(d)(e)** |  |  |  |  |  |
| *6Participant Rental*-Documentation of rent reasonableness for the period of program assistance**24 CFR 578.51(g)** |  |  |  |  |  |