

# TX-601 CoC Program: Mid-Term Monitoring Checklist

Updated: January 2020

## Agency Provides BEFORE On-Site Review

Please send by email to [kathryn@ahomewithhope.org](mailto:kathryn@ahomewithhope.org) no later than 2 weeks after 6 month mark of program; TCHC will review before scheduled on-site review

- Standard Operating Policies and Procedures for:
  - Program intake process for determining “homeless/at risk of homeless” status
  - Program operation
  - Recordkeeping
  - Subrecipient oversight/monitoring, if applicable
- Financial Policies and Procedures for:
  - Maintaining fiscal controls
  - Accounting procedures
  - Procurement procedures
  - Ensuring CoC Program funds are used in accordance with requirements
- Violence Against Women Act (VAWA) Policy
- Emergency Transfer Plan Template
- Antidiscrimination/Fair Housing Policy and Compliance
- Termination Policy
- Housing First Policy
- Environmental Review, if applicable
- Name and title of designated staff person responsible for ensuring children who are being served are enrolled in school and connected to appropriate services, if applicable
- Screenshots of quarterly eLOCCS drawdowns (spending to date)
- Match documentation demonstrating grant funds, except leasing funds, are matched with no less than 25 percent of cash or in-kind contributions from other sources
- HMIS Compliance (annually per agency)
  - 2020 TCHC CoC HMIS End User Security and Privacy Agreements for all HMIS users (please complete online training and submit agreement through ETO)
  - Current list of ETO users
  - Quarterly Data Quality Reports\*
  - Bed/Unit Update Form\* (This form captures corrections/updates to bed inventory dates and/or program details)
  - Electronic Security Policy (Should address the sharing of usernames/passwords, the storing of usernames/passwords in public locations, and storing passwords in internet browser)
  - Name and email of Agency’s Security Officer
  - Name, phone, and email of agency or contracted person responsible for monitoring/updating software installations for the agency
  - Provide virus software name, version, and date of last update
  - Provide firewall name and version for the agency network
  - Data Access Policy (Refers to physical access of computers, printers, data and HMIS system)
  - Data Collection Protocol (Refers to collection of HUD required data elements and Program Specific data elements)
  - All users have completed applicable and annual training and have documentation of training

\*Evaluated for each CoC program during mid-term monitoring, not only once annually per agency

## Agency Provides at Beginning of and/or Throughout Grant Year:

Program managers should send these items to [kathryn@ahomewithhope.org](mailto:kathryn@ahomewithhope.org) at TCHC throughout grant year as they receive/complete them; TCHC should have these items on file before 6 month monitoring review; TCHC will let program managers know which items are not on file at 6 month mark; If not on file, please send by email to [kathryn@ahomewithhope.org](mailto:kathryn@ahomewithhope.org) no later than 2 weeks after 6 month mark of program

- Close-out letters from previous grant year
- Final eSNAPS C1.9a Technical Submission, where applicable
- Award letter and grant agreement for current grant year
- Documentation of grant amendments, including request and approval, for current grant year, if applicable (send to TCHC as they occur)
- General communications with HUD, if applicable (send to TCHC as communications occur)
- HUD audit, if applicable
- Homeless Participation (Provide roster of Board of Directors and/or other decision making entities and identify members with lived experience)
- Subrecipient agreements/procurement contracts, if applicable (send to TCHC as they are executed)
- HMIS Compliance (annually per agency)
  - Participating Agency Agreement
  - ETO Program/Site Creation Form\*

\* Evaluated for each CoC program during mid-term monitoring, not only once annually per agency

## TCHC Provides:

- Final HUD approved Annual Performance Report (APR) from previous grant year
- 6-month Annual Performance Report (APR) for current grant year
- 6-month scorecard
- Total grant amount
- Original eSNAPS application
  - Project goals as determined in initial application
  - Did program merge or expand?
- TCHC confirms that all users have signed user license agreements on file and are authorized to use HMIS system
- CoC/CES participation
  - General Meeting attendance
  - Coordinated Entry Meeting attendance
  - # referrals from Coordinated Entry System that have been accepted and denied
  - % staff that attended annual ETO/HMIS Refresher training
  - Participation in required trainings, such as HMIS, VI-SPDAT, documentation trainings
  - Participation in CoC meetings and trainings such as case conferencing, CTI, motivational interviewing, etc.
- Previous Competition score cards (previous 2 years)
- HMIS
  - TCHC confirms that agency collects all HUD required Universal Data Elements within HUD intake and collects all HUD and CoC required Program Specific Data Elements within HUD intake, mid program, and exit assessments

## Evaluated DAY OF On-Site Review:

TCHC will check for and discuss these items on day of scheduled on-site review; They do not need to be provided ahead of time

- 10 or 10% of client files
  - Documentation participants are entered into HMIS or comparable database
  - Documentation participant was screened via the Coordinated Entry System
  - Documentation of homelessness/at risk of homelessness/disability at intake (Participant Eligibility)
  - Documentation of ongoing assessment of service needs of all participants and adjustment of services as necessary
  - Documentation of initial and follow-up Housing Quality Standards inspections at least annually
  - Leasing and rental assistance documentation and compliance
    - Occupancy agreement, lease or sublease in file (for individual units); All program participants have a signed lease agreement of at least one year that was renewable (for at least one month) and terminable only for cause
    - Rents charged for a structure or unit assisted with leasing or rental assistance funds meet standards of FMR or rent reasonableness
    - If participant is being charged for rent, the amount charged meets income requirements listed in 24 CFR Part 578.77
    - Compliance with lead-based paint requirements listed in 24 CFR Part 35, if applicable
  - Examination of income at intake and at least annually for all program participants
- Implementation of Housing First
  - Applicants can enter the program without committing to supportive services, with no expectations of sobriety, or with poor rental or financial history
  - What is a reason, if any, a client would be denied access to the program?
  - How do you ensure housing and service goals are client-driven?
- Discuss project goals as determined in initial application
- HMIS Compliance (annually per agency) – visual inspections will be completed of network computers (both HMIS and non-HMIS), file storage/disposal procedures, agency-specific electronic security policy
  - Agency uses the CoC HMIS Standardized Release of Information (located in ETO) applicable to its level of sharing and is consistent in collecting with clients
  - All users have unique username, password, and agency email address – all should be addressed in the agency's electronic security policy
  - Procedure in place for secure use and storage of hard copy client personal protected information
  - Virus protection (with automatic update), firewall, and updated operating system/internet browser on all agency computers and networks using HMIS
  - All HMIS workstations/printers in secure locations and/or staffed at all times; using password protected lock-screens for unique user-logins
  - Data Disposal Procedure
  - If using comparable database, does it comply with HUD's HMIS requirements?