

FY__ CoC Onsite Monitoring Purpose

The CoC Program Interim Rule outlines several operational requirements to ensure effective, equitable, and fair management of the CoC, including monitoring CoC project performance [24 CRF § 578.7(6)]. The CoC Written Standards also specify the commitment to conduct annual monitoring.

NOTE: Monitoring is not a punitive process; it is completed to ensure compliance with HUD regulations and requirements, and to provide technical assistance as needed.

DV Providers-VAWA: In keeping with the VAWA Confidentiality Provision [34 U.S.C. § 12291(b)(2)], DV (Domestic Violence) no client-level data will be requested/required - providers will provide templates/samples only for review.

FY ____ CoC Onsite Monitoring Details

1. **SCHEDULING:** Please use this link [redacted] to select 1-2 hour site visits available on a first come, first serve basis. Agencies with more than 3 CoC-funded programs require 3-hour visits.
 - a. **Note:** Program staff familiar with client files should be available to answer any questions and provide clarifying information as necessary.
2. **CLIENT SAMPLES:** In advance of visit, CARES' Compliance Team will provide agencies with a list of 2-5 clients (based on 10% of total clients served during the FY__ contract year). For example:

0- 24 clients served: 2 clients reviewed	35-44 clients served: 4 clients reviewed
25-34 clients served: 3 clients reviewed	45-54 clients served: 5 clients reviewed

3. **SITE VISIT:** CARES Compliance Team will review pre-selected client files, as well as any policies & procedures flagged for follow-up during FY__ monitoring. In the next document provided, the list of specific client file forms that will be reviewed will be listed.
4. **REPORTS:** Will be emailed to agencies on a rolling basis through [redacted] and will cite (if applicable) any corrective actions required by the agency to address noted Findings and/or Concerns.
 - **FINDING:** Statutory, regulatory, or grant compliance issue **requiring corrective action**
 - Agencies will have two weeks to respond to any noted Findings.
 - **CONCERN:** Deficiencies that may lead to future non-compliance - *corrective actions recommended.*
5. **SUMMARY of MONITORING RESULTS:** Will be shared with the CoC Board and/or appropriate Committee/s after all agencies have received final reports.

Monitoring Process Timeline

Dates subject to change, in which case agencies will be alerted ASAP

Activity	Date
CoC Monitoring Process Announced via email	
Detailed document of selected client IDs and forms will be sent via email	
Site Visits will Occur <i>*use the link above to schedule*</i>	
Final (and Preliminary for those w/Findings) Reports emailed on Rolling Basis	
Final reports for those w/previously identified Findings	
Monitoring Summary Report emailed to CoC Committee and/or Board	

Next Steps

CARES' Compliance Department will send you a detailed document with the selected client IDs, the forms that will be reviewed, and the policies and procedures that will be reviewed on site.

Questions? Contact CARES Compliance Team

compliance@caresny.org

REFERENCES / RESOURCES

[CoC Program Interim Rule - HUD Exchange](#)

[CoC FAQs - HUD Exchange](#)

[CoC Program Grants Administration User Guide \(hudexchange.info\)](#)

[Protecting PII](#)