

**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*

<b>Activity</b>	<b>Date</b>
CoC Monitoring Process Announced via email	
Detailed document of selected client IDs and forms will be sent via email	
<b>Site Visits will Occur</b> <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](mailto: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](#)