

FY _____ CoC Virtual Monitoring Overview

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.

NOTE: In keeping with the VAWA Confidentiality Provision [34 U.S.C. § 12291(b)(2)], DV (Domestic Violence) providers will complete a monitoring verification form only; no client-level data will be requested/required.

CoC Remote Monitoring Process

- NOTIFICATION:** The combined FY _____ monitoring process will be announced and described via email.
- ONEDRIVE FOLDER:** Links will be emailed to specified agency contacts by DATE . Folder will house subfolders per program (if necessary).
- DEADLINE:** *All monitoring items must be uploaded within three weeks - by DATE.*
Timely submission will be tracked and may impact your FY ___ Rank & Review score.

NOTE: Personally Identifying Information (PII) must be redacted from client file documentation for CARES Compliance Team to review. Please see attached and/or LMS module available [HERE](#) to learn more about safeguarding client information.

- REPORTS:** Will be emailed to agencies on rolling basis (based on date of receipt) by _____.
 - Final Reports** will be immediately issued for programs in full compliance.
 - Preliminary Reports** will be issued for those with FINDINGS, CONCERNS, and/or Recommendations:
 - FINDING:** Statutory, regulatory, or grant compliance issue requiring corrective action
 - Agencies must respond to FINDINGS within two weeks of receiving notification.**
If communication is not received within two weeks, Finding/s will be issued & report/s finalized.
 - CARES Compliance Team [available for TA (Technical Assistance)] will send final reports, on a rolling basis (based on date of receipt) by _____.
 - CONCERN:** Deficiencies that may lead to future non-compliance - *corrective actions recommended.*
 - Summary of Agency Results** will be shared with the CoC Committee and/or Board by _____.

Program Monitoring Details

- Agencies will upload requested **PII-redacted** client file documentation from a randomly selected sample of between 2-5 clients (based on 10% of total clients served during the combined FY _____ contract years).
 - Up to 24 clients served: 2 clients
 - Between 25-34 clients served: 3 clients
 - Between 35-44 clients served: 4 clients
 - Between 45-54 clients served = 5 clients

Monitoring Process Timeline

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

Activity	Date
CoC Monitoring process announced via email	
OneDrive links emailed to specified agency staff	
Submission Deadline: All requested documentation uploaded into OneDrive	
Monitoring results emailed (on rolling basis) to specified agency staff	
Deadline for agencies to address Findings (if necessary)	Two weeks from date notified
Final reports emailed (on rolling basis) to those w/previously identified Findings	
Monitoring summary report emailed to CoC Committee and/or Board	

Questions? Contact CARES Compliance Team

Compliance@caresny.org

518-489-4130 ext. 723

REFERENCES / RESOURCES

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

[CoC FAQs - HUD Exchange](#)

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

[Protecting PII](#)