

YR49 HOPWA Onsite Compliance Overview

NOTE: *Compliance reviews are not a punitive process; they are 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 compliance review verification form only; no client-level data will be requested/required.

YR49 HOPWA Onsite Compliance Details

- SCHEDULING:** Agencies will receive an email with a SignUp Genius link to select 3-4 hour site visits available on a first come, first serve basis. *Agencies with more than one HUD-funded program will require 4-hour visits.* **Note:** Program staff familiar with client files should be available to answer any questions and provide clarifying information as necessary.
- 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 YR49 contract year or _____ rents ledger for TBRA projects). For example:
 - 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
- SITE VISIT:** CARES Compliance Team will review pre-selected client files, as well as any policies & procedures flagged for follow-up during YR48 virtual monitoring.
- REPORTS:** Will be emailed to agencies on a rolling basis through _____ and will cite (if necessary) 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.*
- SUMMARY of COMPLIANCE REVIEW RESULTS** will be shared with the SAMPLE CITY and/or appropriate Committee/s after all agencies have received final reports.

Compliance Review Process Timeline

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

Activity	Date
HOPWA Compliance Review Process Announced via email	
List of Selected Clients for File Review will be emailed to Agencies	
Site Visits will Occur	
Final (and Preliminary for those w/Findings) Reports emailed on Rolling Basis	
<i>Final reports for those w/previously identified Findings</i>	
Compliance Review Summary Report emailed to _____	

Questions? Contact CARES Compliance Team

compliance@caresny.org

REFERENCES / RESOURCES

[HOPWA – HUD Exchange](#)

[HOPWA FAQs – HUD Exchange](#)

[HOPWA Grantee Oversight Resource Guide](#)

[Protecting PII](#)