

WV Balance of State Continuum of Care: Policies and Procedures Template

This document is intended to serve as a guideline for agencies who receive funding through the HUD Continuum of Care (CoC) Program and/or Youth Homelessness Demonstration Program (YHDP) to provide housing and supportive resources to individuals, families and youth experiencing homelessness in their local communities. This document is not all inclusive, but is intended to prompt thought and discussion internally when developing your program procedures.

Important notes:

- *This policy manual template is not intended to instruct agencies on how to complete HUD-required forms or describe all of the aspects of what should be included in the program participant file. Details on what should be included in a file can be found in the sample program participant intake packet which accompanies this document and should be referenced in your agency's policies and procedures.*
- *You will find questions throughout this document intended to facilitate agency discussions during the development of your agency's policy manual.*

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DEFINITIONS AND ACRONYMS (SEE [WV BoS CoC GUIDANCE](#))

ORGANIZATIONAL OVERVIEW – This section should introduce the agency and describe your agency’s role in the community as it relates to ending homelessness. This section should also detail your agency’s mission and how it relates to operating a homeless assistance project in your local community.

PROJECT OVERVIEW – This section should provide a description of the homeless assistance program(s) operated by your agency.

LEADERSHIP AND PROJECT STAFFING – This section should provide a brief description on the chain of command (e.g. Executive Director, Housing Director, Housing Services Navigator/Case Manager) for CoC/YHDP projects operated by your agency.

INTAKE PROCEDURES

This section should include a description of how your agency is working with the WV Balance of State (BoS) Continuum of Care (CoC) Coordinated Entry System (CES) as outlined in the WV BoS CoC guidance. This section should include information on your agency’s participation in CES prioritization calls and adherence to the CoC guidance for following the order of priority for prioritization of housing resources within the BoS. Your policies should also include procedures for informing CES of open units and the process for accepting referrals in HMIS (or via the CES referral form for VAWA funded providers). This section should also describe how the case management staff will make contact with a newly referred program participant and narrate the proper procedures for initial interaction with each participant upon intake. Intake procedures should articulate how the program staff are working to reduce barriers to program entry and provide an inclusive and equitable experience during the intake and enrollment processes.

1. How does your agency ensure that all new clients are assessed through the Coordinated Entry System (CES)?
2. How does your agency work with CES to determine priority for subpopulations such as Youth, Veterans, and Survivors to ensure we are not violating Fair Housing by steering a specific subpopulation to certain housing? i.e., a youth that is chronically homeless should be evaluated for PSH eligibility instead of only being referred to YHDP projects by default
3. What forms or tools does your agency use during intake, and which staff are responsible for completing them?

HOUSING WITH SUPPORTS

This section should define the key aspects of the Housing with Supports model and describe how your agency applies this approach in daily practice. The focus should be on ensuring that people are not only housed, but also have access to the supports necessary to maintain long-term stability and reduce the likelihood of returning to homelessness. Agencies should demonstrate

how program staff are trained to implement Housing with Supports principles in all interactions with participants and how these practices promote housing stability and long-term success.

Key elements of Housing with Supports policies should include, but are not limited to:

- Connection to housing without preconditions at entry.
- Implementation of universal entry requirements to ensure consistent, low-barrier access to housing and services across programs and referral partners.
- Individualized, client-centered services that promote housing stability and self-sufficiency.
- Participant choice and voluntary engagement in supportive services.
- Eviction prevention and mitigation strategies to maintain housing placement.
- Integration of recovery-oriented and trauma-informed supports.
- Opportunities for social connection and community engagement.

1. What does Housing with Supports mean at your agency, and how are staff trained to apply this approach in daily program operations?

2. What barriers has your agency removed or adjusted to make it easier for individuals and families to access housing quickly and maintain stability once housed?

NON-DISCRIMINATION/EQUAL OPPORTUNITY ACT STATEMENT AND REASONABLE ACCOMMODATIONS POLICIES

All programs within the WV BoS CoC shall comply with the non-discrimination and equal opportunity provisions of federal civil rights laws, including, but not limited to, the Fair Housing Act, Section 504 of the Rehabilitation Act, Title VI of the Civil Rights Act, and Titles II and III of the Americans with Disabilities Act (ADA), as applicable.

Under the Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (PRWORA), Congress restricted immigrant access to certain federal public benefits but established life or safety exceptions. HUD has determined that certain forms of assistance funded through the CoC and YHDP programs meet these exceptions. Additional guidance is available in the HUD PRWORA Fact Sheet: <https://www.hudexchange.info/resources/documents/PRWORA-Fact-Sheet.pdf>

Each agency shall maintain written policies describing how it complies with these federal requirements in daily operations, including:

- Procedures for providing reasonable accommodations to persons with disabilities.
- Staff training on client-centered engagement, trauma-informed care, and applicable fair housing and civil rights requirements.
- Procedures to ensure participants receive information on Fair housing laws and tenant

rights.

- Documentation in each case file acknowledging that Fair Housing and tenant-rights information was provided.

CoC and YHDP-funded agencies shall implement their projects in a manner consistent with fair housing requirements and shall market housing and supportive services throughout their service area to ensure broad public awareness.

ELIGIBILITY DOCUMENTATION AND RECORD-KEEPING REQUIREMENTS

Language in this section should include details on how the agency will establish and maintain sufficient records to enable HUD and the CoC Monitoring team to determine that this funded program is meeting grant requirements and adhering to federal regulations. This section should also include how your agency is following the established HUD order of priority for determining eligibility and obtaining third-party verification of homelessness.

This section should provide the definitions of homelessness which are approved to be utilized in the WV BoS CoC (Categories 1, 2, and 4). For purposes of eligibility of HUD CoC/YHDP programs, homelessness is defined as:

- (Category 1) An individual or family who lacks a fixed, regular, and adequate nighttime residence, meaning:
 - An individual or family with a primary nighttime residence that is a public or private place not designed for or ordinarily used as a regular sleeping accommodation for human beings, including a car, park, abandoned building, bus or train station, airport, or campground
 - An individual or family living in a supervised publicly or privately operated shelter designated to provide temporary living arrangements (including congregate shelters, transitional housing, and hotels and motels paid for by charitable organizations or by federal, state, or local government programs for low-income individuals), or
 - An individual who is exiting an institution where he or she resided for 90 days or less and who resided in an emergency shelter or place not meant for human habitation immediately before entering that institution.
- (Category 2) An individual or family who will imminently lose their primary nighttime residence, provided that:
 - The primary nighttime residence will be lost within 14 days of the date of application for homelessness assistance
 - No subsequent residence has been identified, and
 - The individual or family lacks the resources or support networks, e.g., family, friends, faith-based, or other social networks, needed to obtain other permanent housing

- (Category 4) Any individual or family who;
 - Is fleeing or attempting to flee domestic violence, dating violence, sexual assault, stalking, or other dangerous or life-threatening conditions that relate to violence against the individual or family member, including a child, that has either taken place within the individual's or family's primary nighttime residence or has made the individual or family afraid to return to their primary nighttime residence
 - Has no other residence, and
 - Lacks the resources or support networks e.g., family, friends, faith-based or other social networks, to obtain other permanent housing

Eligibility requirements in your agency's policies should also include process for verifying current homelessness status (in order of preference established by HUD and outlined in the CoC Interim Rule):

Documentation types in order of preference for households who are Literally Homeless (Category 1):

1. Third-party documentation first (e.g. a letter on agency letterhead with specific dates of contact, discharge paperwork from an institutionalized setting where the individual resided less than 90 days and entered homeless)
2. Intake worker observations second (e.g. a letter on agency letterhead and/or form with intake worker signature documenting specific dates of contact; intake worker may include pictures in case file of where household is sleeping, if authorized to do so by household)
3. Certification from the person seeking assistance third (e.g. when no other documentation can be obtained and program participant completes and signs the form documenting their current housing status/dates they experienced homelessness)

Documentation types in order of preference for households who are at Imminent Risk of Homelessness (Category 2):

1. A court order resulting from an eviction action notifying the individual or family that they must leave within 14 days; or
2. For individuals and families leaving a hotel or motel – evidence that they lack the financial resources to stay; or
3. A documented and verified written or oral statement that the individual or family will be literally homeless within 14 days; and
4. Certification that no subsequent residence has been identified; and
5. Self-certification or other written documentation that the individual lacks the financial resources and support necessary to obtain permanent housing.

Documentation types in order of preference for households who are Fleeing/Attempting to Flee DV (Category 4):

For victim service providers:

1. An oral statement by the individual or head of household seeking assistance which states: they are fleeing; they have no subsequent residence; and they lack resources. Statement must be documented by a self-certification or a certification by the intake worker.

For non-victim service providers:

1. Oral statement by the individual or head of household seeking assistance that they are fleeing. This statement is documented by a self-certification or by the caseworker. Where the safety of the individual or family is not jeopardized, the oral statement must be verified; and
2. Certification by the individual or head of household that no subsequent residence has been identified; and
3. Self-certification, or other written documentation, that the individual or family lacks the financial resources and support networks to obtain other permanent housing.

As provided by the Consolidated Appropriations Act, 2019, youth aged 24 and under must not be required to provide third-party documentation that they meet the homeless definition in 24 CFR 578.3 as a condition for receiving services. Additionally, any youth-serving provider funded by the CoC, YHDP, or ESG, or serving as a youth access point, may serve unaccompanied youth aged 24 and under (or families headed by youth aged 24 and under) who have an unsafe primary nighttime residence and no safe alternative to that residence. HUD interprets “living in unsafe situations” as having an unsafe primary nighttime residence and no safe alternative to that residence. These youth-related requirements supersede any conflicting requirements under this policy.

It is important to note that each project type has specific procedures and forms for documenting homeless status. Please reference specific program guidance and the sample program participant intake packet for details in the process.

1. What documents does your agency have on file to reflect program eligibility? 2. How does your agency keep track of eligibility documents and make sure your agency is following HUD's guidelines?
3. Who is responsible for reviewing and updating the participant files?

DOCUMENTING CHRONIC HOMELESSNESS

Agencies operating Permanent Supportive Housing (PSH) programs should outline in this section their process for working with CES system access points/ to obtain documentation for the length of time homeless and disabling conditions within 45 days of enrollment. At least one adult program participant in each household must meet the following PSH program eligibility requirements:

- Adults in the Household are Literally Homeless or Fleeing Domestic Violence (See definitions listed above for Category 1 and Category 4 of the Homeless Definition), have documented length of time homeless, and one adult (Head of Household) must have a documented disabling condition.

- Dedicated: Projects will be required to serve all chronically homeless individuals and families in the CoC (by region), and then, following the Order of Priority when no households meet the chronic criteria.
- DedicatedPLUS: Projects will be required to serve populations/criteria targeted in their grant application and serve households by following the Order of Priority for the WV BoS CoC.
- There are no income requirements for PSH.
- There are no exclusions for CoC assistance due to criminal background.
- It is also important to note that if a participant enters into Transitional Housing (TH) chronically homeless, that they are eligible to be transferred to DedicatedPLUS PSH bed. However, they are no longer eligible for Dedicated PSH beds.

Length of Homeless Documentation

To document the length of time an individual has been homeless, service providers should use a combination of client interviews, intake forms, and third-party verification to establish the start date of their current episode of homelessness, tracking the continuous period spent in shelters, on the streets, or in other non-permanent housing situations, and recording the total cumulative months of homelessness within the past three years. Agencies should outline in this section the process for using a Homeless Management Information System (HMIS) to ensure accurate data collection and eligibility determination for housing assistance programs.

Agency's written intake procedures should follow the established order of priority for obtaining evidence of a participant's current housing status and length of time homeless. The order of priority for obtaining documentation to establish chronic homelessness status are as follows:

- HMIS/comparable database record, or
- Individual/Agency record of an emergency shelter stay outside of the HMIS system, or
- Written observation by an outreach or intake worker with dates of encounters, including a description of the conditions where the individual or head of household was living or is currently residing, or
- Written observation by community member or community provider that has physically observed where the person or household was or is currently residing, including dates of each observation or encounter.

**Program participants may self-certify up to three months of homelessness.*

Disabling Condition Documentation

Agencies should describe in this section the process for verifying a disabling condition and coordinating with the Social Security Administration and/or a medical/behavioral health provider to certify the disability meets the criteria listed above.

Evidence of diagnosis with one or more of the following conditions; substance use disorder, serious mental illness, developmental disability (as defined in section 102 of the Developmental

Disabilities Assistance Bill of Rights Act 2000 (42 U.S.C. 15002)), post-traumatic stress

disorder, cognitive impairments resulting from brain injury, or chronic physical illness or disability, must include one of the following forms of documentation:

- Written verification of the condition from a licensed professional by the state to diagnose and treat the condition;
- Written verification from the Social Security Administration;
- Copies of a disability check (e.g., Social Security Disability Insurance check or Veteran Disability Compensation); or
- Intake staff (or referral staff) observation that is confirmed by written verification of the condition from a professional licensed by the state to diagnose and treat the condition that is confirmed no later than 45 days after project enrollment and accompanied with one of the types of evidence above.

**In WV, professionals licensed to diagnose and treat medical and behavioral health conditions are as follows: MD, PA, NP, DO, Clinical Psychologist, Licensed Clinical Social Worker (LCSW).*

HOUSING SEARCH AND LOCATION

The agency should outline in this section how staff are assisting each household in the housing search process. This policy should outline how the case manager obtains knowledge of the rental market in their service area and builds relationships with local landlords. Describe in this section how staff develop and maintain relationships with the Public Housing Authorities in their locality and have access to the current Section 8 landlord listing, in addition to, utilizing the local newspaper and other online resources to assist the client with their search. Tasks that align with the housing location process also include the case manager assisting the client with contacting and meeting the landlord, and viewing potential apartments.

- How does your agency help individuals search for housing, and what does your agency look for when searching for units?
- How does your agency negotiate rental costs with landlords and make sure that housing is affordable for the participant?

UNIT INSPECTION/RE-INSPECTION

The agency should outline in this section the CoC/YHDP requirements for completing Housing Quality Standards inspections. This policy should also outline how potential units are visually assessed for lead-based paint and the process for ensuring that all staff working under the program are trained on housing inspection requirements. This section should also outline the procedures for ensuring unit inspections are included and updated in each program participant's case file. The agency should outline the process for re-inspections of units for when a household composition changes or the program participant has been enrolled longer than a year.

- What staff is responsible for inspecting units to ensure they are meeting HUD standards before a client moves in?
- What is the process for when a unit doesn't meet HUD standards? (i.e., repairs,

modifications, relocation, etc.)

HOUSING QUALITY STANDARDS (EXPIRES 9/30/2026)

The goal of the CoC/YHDP program is to provide “decent, safe and sanitary” housing at an affordable cost to low-income youth, individuals, and families. Housing Quality Standards (HQS) help HUD and the CoC accomplish that goal by defining “standard housing” and establishing the minimum quality criteria necessary for the health and safety of program participants. All CoC/YHDP housing units must meet these HQS in order to utilize CoC/YHDP funding for rent/utility costs. HQS inspections should be completed for new units that clients are moving into and annually thereafter, if clients are continuing to receive assistance and to reside in an applicable housing unit.

NATIONAL STANDARDS FOR PHYSICAL INSPECTIONS OF REAL ESTATE (NSPIRE) (EFFECTIVE 10/1/2026)

The National Standards for the Physical Inspection of Real Estate (NSPIRE) will replace Housing Quality Standards (HQS) as HUD’s required inspection protocol beginning October 1, 2026. NSPIRE establishes a unified inspection model across all HUD housing programs to improve consistency, safety, and accountability in property conditions. The new standards emphasize resident health and safety, objective scoring, and clear expectations for property owners and program administrators. All CoC and YHDP-funded housing units must comply with NSPIRE requirements to ensure federal funds are used only for units that meet minimum habitability standards. Inspections shall be completed prior to participant move-in and annually thereafter for households continuing to receive rental assistance. Agencies are encouraged to begin transitioning inspection practices to NSPIRE to ensure readiness for full implementation.

HOTMA (HOUSING OPPORTUNITY THROUGH MODERNIZATION ACT) FOR PSH PROJECTS

Permanent Supportive Housing (PSH) programs funded under the CoC must comply with the Housing Opportunity Through Modernization Act (HOTMA) regulations effective January 1, 2026. HOTMA modernizes rent and income calculations for HUD-assisted programs to promote consistency and reduce administrative burden.

Agencies operating PSH programs must ensure that staff conducting income reviews and lease renewals have completed HUD-approved HOTMA training. Key implementation areas include:

- Updated definitions of annual income and assets for rent calculation.
- Revised timelines for income verification and interim reexaminations.
- Compliance with HOTMA’s updated reporting requirements in HMIS and financial records.

Each PSH agency should document staff completion of HOTMA training and maintain written procedures for income calculation and rent determination.

- CoC-funded PSH: In accordance with 24 CFR § 578.77, agencies administering CoC-funded PSH are not required to impose occupancy charges on program participants as a condition of residing in the housing. However, if occupancy charges are applied, they must:
 - o Be applied uniformly to all participants within the program; and
 - o Not exceed the greatest of the following thresholds:
 - 30% of the household’s monthly adjusted gross income;

- 10% of the household’s monthly income; or
- If the household is receiving welfare assistance payments from a public agency, and a portion of such payments is explicitly designated for housing costs, the amount of that designated portion.

Program income is the income received by the program directly generated by a grant-supported activity. Rent collected from program participants is program income. Program income for PSH clients may not be reserved for clients when they move out, unlike Transitional Housing. Program income for PSH programs earned during the grant term must be expended during that grant term, and may only be spent on CoC eligible cost listed under Subpart D of the CoC Interim Rule.

LEAD-BASED PAINT DISCLOSURE, INSPECTION, DOCUMENTATION AND REPORTING All CoC/YHDP programs are required to follow the regulations outlined in the Coastal Barriers Resources Act, OMB Circulars, HUD’s Lead-Based Paint regulations, and audit requirements. The wording of these requirements was substantially revised in January 2020 from previous programs, with the objective being to increase clarity and comprehension of the directions to recipients and subrecipients in the use of grant funds. Agency policies should outline your procedures for adhering to the following lead-based paint disclosure, inspection, and reporting requirements:

Applicable Housing Units – A lead-based paint visual assessment must be completed on the following housing units constructed before 1978:

- o Units housing families with children six (6) years of age or younger
- o Units housing a pregnant person

Lead-based paint disclosures must be provided to client households in ALL housing units constructed prior to 1978. Under this requirement, lessors (property owners or managers) are required to provide tenants with both of the following:

- o A disclosure form for rental properties disclosing the presence of known and unknown paint.
- o A copy of the “Protect Your Family from Lead in the Home” pamphlet from <http://endhomelessness.org/wp-content/uploads/2017/03/1.14-HUD-Lead-Based-Paint-Brochure.pdf>.

It is the responsibility of each funded agency to ensure that tenants are provided with the required documents and acknowledge that they received them.

Inspection Requirements – A lead-based paint visual inspection must be completed prior to move-in and prior to the payment of any financial assistance, which includes rental assistance, utilities assistance, utility/security deposits, and rental/utility arrears. Visual inspections should be completed for new units that clients are moving into and annually thereafter, if clients are continuing to receive assistance and to reside in an applicable housing unit.

Inspector Requirements. The lead-based paint visual assessment must be conducted by a person who has completed the HUD Certified Visual Assessor training. This training can be found at:

<http://hud.gov/offices/lead/training/visualassessment/h00101.htm>.

Documentation of Completion of Visual Assessment – Evidence that the funded agency successfully completed HUD Certified Visual Assessor training must be maintained in personnel files for review during site visits. Completed Lead Screening Worksheets should be included in participant files. Additional information on the Lead-Based Paint Requirement can be found at: <https://www.hudexchange.info/resource/2118/guidelines-evaluation-control-lead-based-paint-hazards-in-housing/>.

Quarterly Reporting to the local Health Department – Each agency should keep an updated list of all unit addresses that are currently being assisted with CoC/YHDP funding. The agency will submit an updated list on a quarterly basis to the appropriate local Health Departments. Some local Health Departments may prefer that HUD-funded agencies send this information to the state.

RENT REASONABLENESS AND FAIR MARKET RENT (FMR) CALCULATIONS

Fair Market Rent

HUD establishes FMRs to determine payment standards or rent ceilings for HUD-funded programs that provide housing assistance, which is published annually on October 1 for each county in West Virginia. It is the responsibility of each agency to stay up to date on these annual changes and document in this section how they will do so. This section should also discuss how your agency works with its local Public Housing Authority to obtain utility allowances that should be incorporated into the FMR amount for each unit. Please be aware that utilities already included in the rent are not applicable to the utility allowance sheet. If a CoC/YHDP funded agency serves multiple cities or counties, they must use the appropriate FMR for the geographic area in which the assisted housing unit is located. Each agency is responsible for including a copy of the applicable FMR data in the program participant's case file to document the FMR for that program participant's unit size and geographic area. This section should outline the entire process for calculating and negotiating rent with private landlords in the mainstream rental market. It is important to note that all CoC/YHDP grant terms do not start on October 1, so your agency will need to ensure that staff are up to date on these new amounts and utilize these new amounts for any new leases following this date.

Rent Reasonableness

HUD's rent reasonableness standard is designed to ensure that rents being paid are reasonable in relation to rents being charged for comparable unassisted units in the same market. All CoC/YHDP funded agencies should have a procedure in place to ensure that compliance with rent reasonableness standards is documented prior to executing the lease for an assisted unit. Under the CoC/YHDP Program, all units and structures for which rent is paid must be reasonable. This section of the policy should outline the process for determining rent reasonableness by considering the gross rent of the unit and the location, quality, size, type, and age of the unit, and any amenities, maintenance, and utilities to be provided by the owner. To calculate the gross rent for purposes of determining whether it meets the rent reasonableness standard, consider the entire housing cost: rent plus the cost of any utilities that must, according to the lease, be the responsibility of the tenant. Utility costs may include gas, electric, water, sewer, and trash.

*Agencies are only permitted to pay leasing costs that are at or under FMR for PSH and TH units. Agencies may pay rental assistance costs that align with Rent Reasonableness standards for the locality for Rapid Re-Housing (RRH) units.

Documentation and Recordkeeping of Comparable rents

Comparable rents vary over time with market changes, so it is important to ensure that the three comparisons you are using are up-to-date and appropriate for each prospective unit size and location. Information on comparable rents by bedroom size should be updated at a minimum, every 6 months, throughout locations in the agency's service area. This section should outline the agency's procedures for obtaining and maintaining documentation of these comparables and who at your agency is responsible for updating them bi-annually. Please keep in mind that one list of properties for a whole county service area is not sufficient, particularly if the cost of living in one area of the county is significantly different than another area of the county. Each agency should outline in this section their procedures for ensuring the FMR/Rent Reasonableness form with three comparables is available for review in each program participant's case file and demonstrate that the proposed contract rent does not exceed \$50 above the average of the three comparable units.

<https://www.hudexchange.info/resources/documents/CoC-Rent-Reasonableness-and-FMR.pdf>

1. What is your agency's process in deciding if rent is reasonable for the area and the unit costs meet HUD requirements?
2. What data sources should the agency use to determine Fair Market Rent (FMR) and Rent Reasonableness in different geographic areas?
3. What is your agency's process for recordkeeping of comparable units and the process for ensuring that the FMR/Rent Reasonableness form is in every participant file?

DETERMINING TENANT RENT CONTRIBUTION FOR RRH

Each agency should outline in this section how they work with the participant to determine the amount of rent that is needed to ultimately achieve housing stability. The amount of rental assistance must be reviewed at a minimum every 3 months and continued need determined through consultation between the participant and the case manager. Agencies should describe their process for evaluating rental assistance monthly for all RRH program participants to determine the need for continued assistance at a minimum every 90 days. After each 90-day period, a rental agreement recertification should be completed that details the agency and tenant monthly rental contributions.

This section should describe how the case manager will work with each household to obtain or increase income source(s) (e.g. leverage resources to connect households with cash or non-cash benefits, assist with resume writing, connect with Workforce WV, assist with applying for SSI/SSDI benefits). Once income is obtained or increased, the case manager should assess if there are any current debts. If so, a plan should be developed with the household to pay off debt and begin budgeting to pay rent. All household expenses should be assessed and accounted for.

This section should also describe the process for how program staff assess the household budget to ensure the participant is not in the negative each month and how they work with the household

to develop a plan to pay a portion of their rent and/or utilities. The household will pay a portion of the rent calculated each month with the case manager until they are paying 100% of the rent. This is not a one-size fits all approach, so agency policies should outline how case managers must be diligent in working with households on budgeting, brokering additional community resources and understanding all facets of each household's need. A couple examples of working with a household to pay a portion of the rent each month with the end goal of paying 100% would be: (1) budgeting with the client who obtained SSI to pay \$50 each month, and doubling the amount each month until they are at the full \$450, or working with family who just obtained new income to pay 25% of their rent, increasing the amount by 25% percent each month until they are paying the full 100% of their rent. Agencies should describe in this section how case managers should also be simultaneously assessing and discussing other options, such as Section 8 or Public Housing, for the household, particularly if their income is not enough to sustain long-term.

1. What is the process for determining how much a household will pay and what type of unit would best suit their individualized needs?
2. What information and documentation is the participant provided to show their rent contribution and agency contribution?

CALCULATING GROSS INCOME FOR PSH/TH RENTAL CONTRIBUTION

Agencies should outline in this section how gross income is calculated to determine rent contributions for all PSH units, as well as TH units (when applicable). Agencies should describe in this section how they calculate the rent portion utilizing the gross income worksheet, work with each household to budget monthly to pay their portion, and the process for tracking monthly rental payments. Please keep in mind that income is calculated to determine the tenant's PSH rent or TH occupancy charge, not to determine eligibility.

PSH PROGRAM INCOME/TH OCCUPANCY CHARGES

Program income is the income received by the CoC/YHDP funded agency directly generated by a grant-supported activity. Some examples include income from fees for services performed and rent and occupancy charges paid directly to the agency by program participants. Rent funds received are considered to be program income. Tenant rent paid directly to a landlord is not considered to be program income. This section should outline the agency's process for informing households of the monthly rent portion, in addition to, documentation and tracking procedures to ensure program income is eligible and expended on CoC eligible costs within the grant term. Occupancy charges collected from residents of TH may be reserved to assist the residents move into permanent housing.

USE OF CoC/YHDP FUNDS WITH OTHER SUBSIDIES

Except for when a program allows for rental arrears assistance on the tenant's portion of the rental payment, rental assistance cannot be provided to a program participant who is receiving tenant-based rental assistance, or living in a housing unit receiving project-based rental assistance or operating assistance, through other public sources. Agencies should note in their policies how they adhere to this requirement.

LEASES, SUBLEASES, AND OCCUPANCY AGREEMENTS

Agencies should outline your procedures for ensuring that leases, subleases, and occupancy

agreements are executed following the unit inspection. This section should also detail who is responsible for ensuring all leases, subleases and occupancy agreements are stored in the program participant file and describe the process for updating them annually, when applicable. Depending on the project type your organization is funded to operate, this will determine what leasing documents are required to be stored in each participant file. Limitations on assistance for CoC RRH and TH-RRH is a total of 24 months for each household. YHDP RRH and TH-RRH may be extended to 36 months with documented approval from HUD. It is important to note that the 24 month requirement includes a cumulative length of stay in both TH and RRH for the joint component projects. For PSH projects, the goal is to assist participants with obtaining housing stability and moving along to mainstream housing within three years; however, this program is designed to allow high acuity households to remain in PSH for longer periods of time.

In a project that supports housing costs with leasing, the lease is between the agency and the landlord. Once a program participant is identified for the unit, the agency then executes a sublease or an occupancy agreement with the participant.

- In PSH leasing projects there must be a sublease and it must be for a term of at least one year and automatically renewable upon expiration.
- In TH leasing projects the sublease or occupancy agreement must be for a term of at least one month and be automatically renewable upon expiration (for a maximum term of 24 months).

For projects that provide tenant-based and project-based rental assistance, the lease is between the program participant and the landlord. A rental agreement should be executed between the participant, agency, and landlord outlining responsible parties for payment and this agreement must be evaluated at a minimum every 90 days.

- In RRH projects, the lease must be for a term of at least one year and automatically renew upon expiration.
- In TH projects, the lease must be for a term of at least one month and automatically renewable upon expiration (for a maximum term of 24 months).

In projects that provide Sponsor-Based Rental Assistance, the lease is between the agency and the landlord, and there is a sublease between the agency and the program participant.

In projects that provide site-based PSH or TH where the agency owns the building, the lease is between the agency and the program participant.

VAWA PROTECTION LEASE ADDENDUM

Under the Violence Against Women Act (VAWA), CoC/YHDP funded programs are required to provide special protections for individuals who are survivors of domestic violence, dating violence, sexual assault, or stalking. These responsibilities include:

1. Non-discrimination: CoC programs cannot discriminate against or deny services to individuals based on their status as survivors of domestic violence, sexual assault, or stalking.
2. Confidentiality: The programs must protect the confidentiality of survivors, particularly regarding information about their status as victims of violence. This includes ensuring that information about survivors' housing choices and their participation in programs is kept confidential.

3. **Emergency Transfers:** If a survivor of domestic violence is at risk of further violence in a housing program, they must be allowed to transfer to another safe housing option without facing eviction or retribution.
4. **Safety Planning and Resources:** CoC programs are expected to integrate safety planning and ensure that survivors are informed about their rights, including their ability to access emergency shelter or housing options regardless of their income or immigration status.
5. **Prevention and Support:** CoC programs also focus on preventing homelessness for survivors by offering specialized services like legal assistance, counseling, and financial support.

These VAWA protections aim to ensure that individuals fleeing violence are not further victimized or subjected to barriers in accessing housing or supportive services. Agencies should outline how they adhere to these requirements and ensure that the VAWA lease addendum form is included in all program participant files where financial assistance is being provided.

1. What procedures will be followed if a tenant requests to terminate their lease early due to VAWA-related circumstances?
2. What actions will be taken if the participant requests a transfer or a modification to their lease due to safety concerns and how does your agency's procedures adhere to the [WV BoS CoC's Emergency Transfer Plan?](#)

CASE MANAGEMENT REQUIREMENTS AND RESPONSIBILITIES

Individual case management must be offered to program participants at a minimum monthly per HUD requirements; however, case management should always be tailored to each household's needs. At project enrollment, case managers should explain the program guidelines to the individual seeking assistance and describe the role of case management. The case manager and the participant should complete a mutual expectations agreement that is kept in the participant file. This section should detail the roles and responsibilities for CoC/YHDP case management staff at your organization. These responsibilities may include, but are not limited to:

Housing Stability Case Management assists participants in locating and obtaining suitable permanent housing, including:

- Assessment of housing barriers, needs, and preferences
- Development of an action plan for locating housing with current knowledge rental market in service area
- Participating in housing search with household
- Outreach to and negotiation with landlords
- Tenant counseling
- Assessment of housing for compliance with ESG and SSVF requirements for habitability (or CoC/YHDP requirements for HQS), lead-based paint, and fair market rent/reasonableness depending on specific program requirement
- Assistance with submitting rental applications and understanding leases

- Arranging for utilities
- Making moving arrangements

Ongoing Case Management services include assessing, arranging, coordinating, and monitoring the delivery of individualized services to facilitate housing stability for a program participant who has obtained permanent housing, for example:

- Developing an individualized housing stabilization and service plan, including planning a path to permanent housing stability
- Crisis planning and upholding lease requirements
- Developing, securing, and coordinating services to access Federal, State and local benefits, increase income, connect with and build community supports, and obtain resources for basic needs/health care
- Utilizing the Full SPDAT case management tools in HMIS to monitor and evaluate program participant progress and determine the effectiveness of case management
- Providing information about, and referrals to, other providers
- Individualized budgeting and money management services, monthly at a minimum
- Conducting re-evaluations to determine on-going program eligibility
- Connecting households with mainstream housing upon exit

Other Services may be provided, such as:

- Assistance with or referral to food, clothing and/or transportation services
- Referral to legal services to resolve a legal problem that prohibits a program participant from obtaining or retaining permanent housing.
- Referral to Credit Repair programs
- Connection to resources for educational advancement, such as GED preparation and attainment, post-secondary training, and vocational education
- Assistance with or referral to job preparation and attainment services, such as career counseling, resume building, job interview training, dress and grooming, job placement and job maintenance
- Referral to Mental Health services, such as relapse prevention, crisis intervention, outpatient therapy, psychiatric services, medication monitoring and/or dispensing
 - Referral to Substance use services, such as outpatient treatment, relapse prevention and crisis intervention
- Referral to Health Care System, such as routine physicals, health assessments, and family planning education

Case Management includes the following types of contact: home visits, office visits, meeting at a

location in the community, or phone calls. Case management services should be guided by the use of the Full SPDAT assessment tools for families, individuals, and youth.

1. What is the role of a case manager at your agency?
2. What are the responsibilities for case managers at your agency to assist households with obtaining documentation for housing, connect households to permanent housing and mainstream resources, and maintain records and case files of each household served?
3. What trainings are provided to case managers and at what frequency (e.g. Trauma Informed Care, Motivational Interviewing, etc.)?
4. Does the mutual expectations agreement outline both the agency's expectations (respect or cooperation) and the client's responsibilities (confidentiality, timely services, respect) clearly?
5. Who at your agency will be responsible for reviewing case files internally and revising case management forms to ensure they remain relevant and effective?

DISCHARGE PLANNING TO MAINSTREAM HOUSING

This section of your policies should outline the process for ensuring households are connected with mainstream housing resources upon exit. This section should outline a plan for the effective, timely exit of participants whose acuity is determined to be low enough to maintain housing stability in market rate or subsidized housing outside of homeless assistance programs. Policies around this topic ensure that the discharge and program exit process for participants in CoC/YHDP funded programs is handled fairly, consistently, and with respect for the participant's dignity and well-being.

Positive Exit Criteria:

- Housing Stability: The participant secures permanent housing.
- Self-Sufficiency: Achieves economic independence, stable employment, or other life goals.
- Program Goals Met: Completes individualized objectives (e.g., employment, health).
- Voluntary Exit: Participant voluntarily ends participation with a plan for continued stability.

Positive Exit Process:

- Review goals and progress with the participant.
- Create an exit plan, including housing, employment, and social support.
- Ensure completion of program requirements.
- Hold an exit meeting, offering referrals if necessary.
- Provide exit documentation or certification.
- Offer follow-up services if needed.

Negative Exit Criteria:

- Consistent failure to participate or engage in services throughout project enrollment that results in missed rent payments and no progress forward toward stability. Though supportive services should never be required, this does not mean that a program can continue to pay rent indefinitely with no communication with the participant.
- Violation of lease resulting in eviction. Agencies should continue to work with the household to identify another unit or other housing option.
- Leaving voluntarily due to dissatisfaction or conflict.
- Engaging in criminal behavior that puts the life and safety of other tenants at risk. Please note that using illegal substances in the unit does not rise to the level of termination, but selling illegal substances or other violent criminal activity could result in termination.
- Creating an unsafe environment for other tenants, landlord or case management staff (e.g. physical violence)

Negative Exit Process:

- Document all issues leading to the exit.
- Attempt to resolve the issue through participant engagement and support.
- If unresolved, schedule a discharge meeting and explain the decision.
- Refer the participant to alternative services, if needed.
- Implement an appeals process within a set timeframe.

All exits (positive and negative) must be documented, including:

- Reason for exit (positive/negative).
- Actions taken to support the participant.
- Exit plan and referrals.
- Any appeal and outcome.

1. Who is responsible for assisting participants with creating a discharge plan?
2. What partnerships does your agency have with landlords, property managers, or local housing authorities to ensure availability of reliable housing options?
3. How does your agency assess a participant's readiness for discharge to mainstream housing?
4. How does your agency maintain awareness of community resources and work with partner organizations to provide resource referrals prior to or at project exit?

PARTICIPANT RIGHTS, APPEALS AND GRIEVANCE PROCESS

Agencies should describe in this section of their policies for the process for ensuring all participants are informed of their rights and responsibilities at program entry, including:

- The right to appeal any decisions related to discharge or exit.
- The right to privacy and confidentiality of their personal and program information.
- The right to receive adequate notice of any negative exit and to participate in the exit planning process.

Agencies should also outline their grievance process in both this section of the policy and within their mutual expectations agreement with each participant. This criteria should include the following:

- Notice of Exit: The participant will be provided with written notice of discharge or exit, explaining the reason and offering referrals.
- Appeal Process: The participant can file an appeal within [X] days, which will be reviewed by a committee or designated program manager. The participant may be allowed to present their case or provide additional documentation or evidence.
- Resolution: The program will issue a final decision on the appeal within [X] business days, and the participant will be informed of the outcome in writing.

FOLLOW UP SERVICES

This section of your agency policies should describe how your CoC/YHDP program staff work with each participant to ensure continued housing stability and connection with community resources following project exit. The section should outline requirements for attempting to follow up with phone or written contact at least once after the client exits the program. A CoC funded project may provide follow-up services that include identification of additional needs and referral to other agency or community resources following exit for up to 6 months. YHDP allows for additional follow up time post exit, as long as the agency selected to utilize this Special Activity.

DISPLACEMENT AND RELOCATION REQUIREMENTS

CoC/YHDP programs are designed to avoid displacement of individuals and families. If relocation is unavoidable, recipients must follow a set of procedures to provide appropriate assistance, while ensuring compliance with federal, state, and local requirements. This section should outline your agency's procedures for avoiding displacement of program participants unless necessary for safety or operational needs. Affected participants must be notified in advance if relocation is required, with details on timing, reasons, and support offered.

If relocation is necessary, affected individuals may receive:

- Moving cost payments
- Comparable housing options
- Rent differentials, if applicable

- Reasonable accommodations for disabilities

If temporary relocation occurs (e.g., during renovations), affected participants must be returned to the same or comparable housing once the project is completed.

HOUSEHOLD SEPARATION/CHANGE IN HOUSEHOLD COMPOSITION

PSH: Agency PSH policies should outline the process for responding to household separation and composition changes. When a household separates and would be best served in separate

units, PSH staff must obtain a written statement for the other adult household member's living situation at initial program entry and maintain that in the file. If the other adult household member(s) are found to not be eligible for PSH, they should be connected with other mainstream housing resources as quickly as possible. The goal of this process would not be to make the ineligible participant homeless, but to determine if they are also eligible for PSH if the household splits. If the other program participant does have a documented disability but does not have the full length of time as outlined in the Chronically Homeless definition, they may be prioritized for another PSH unit. It is important to reference the Dedicated and DedicatedPLUS definitions and consult with CES prior to making this decision. If the client cannot be determined as eligible for Permanent Supportive Housing, the client should be exited from the PSH program immediately and the case manager is responsible for ensuring, through other internal resources, the continuation of permanent housing, and/or the linkage to other mainstream housing resources. The CoC Permanent Supportive Housing funding may not be used to pay for a unit with an ineligible participant.

RRH: Agency RRH policies should outline the process for responding to household separation and composition changes. When a household separates and would be best served in separate units, RRH staff must obtain a written statement for the other adult household member's living situation at initial program entry and maintain that in the file. If the other adult household member(s) are found to not be eligible for RRH, they should be exited from the RRH program, and they should be connected with other mainstream housing resources as quickly as possible. The goal of this process would not be to make the ineligible participant homeless, but to determine if they are also eligible for RRH if the household splits.

UNIT VACANCIES

Institutionalized Stays

This section should outline your agency's procedures for communicating unit vacancies to the WV BoS CoC's CES. It is important to note that participants who are entering an institution (e.g. hospital, jail, in-patient treatment center) should not immediately be terminated from the program. CoC/YHDP providers are permitted to maintain open units for individuals and families who are institutionalized for a maximum of 90 days.

Unit Abandonment/Eviction

Assistance may remain for a maximum of 30 days from the end of the month when the unit was vacated, unless occupied by another eligible person. Brief periods of stay in institutionalized settings, not to exceed 90 days for each occurrence, are not considered vacancies.

TERMINATION OF SERVICES AND GRIEVANCE PROCEDURES

CoC/YHDP programs should be designed to create an inclusive environment for those experiencing homelessness, so having transparent and fair grievance procedures is essential for maintaining trust and ensuring that people have an avenue for addressing concerns. This section

of your policies should describe all potential reasons for why your agency might choose to terminate a client's services. This is not entirely to your discretion and should only list serious offenses, such as:

- Manufacturing or distributing (not using) drugs on the premises
- Being considered a danger to others (themselves, staff, and other clients)
- Having been moved into an institutionalized setting for more than 90 days

Complaints, grievances, and appeals policies and procedures should be incorporated in this section to ensure that clients have a way to anonymously submit complaints they may have about the project in regards to treatment. Agency procedures for receiving complaints, responding to a grievance, and their appeals processes should all be included in this section. When developing this policy, your agency should include the following:

- Procedures for who can file a grievance and process for submitting a grievance
- Acknowledgement of receipt and response time
- Confidential investigation process
- Resolution and communication of the decision
- Appeals processes
- Corrective actions
- Non-retaliation protections
- Documentation and reporting for governing bodies and funders

1. What specific actions (e.g. violence) would discontinue services at your agency?
2. Should participants be given a warning or an opportunity to correct their behavior before termination?
3. What steps will your agency take to ensure that clients are notified and in writing of a termination decision?
4. Who will be responsible for making termination decisions?
5. What are the steps your agency has in place for clients to file an appeal?

RECORDKEEPING AND CONFIDENTIALITY REQUIREMENTS

This section should describe how your agency maintains complete, up-to-date written records and procedures for each CoC/YHDP Program-funded project. This includes:

- Establishing and maintaining standard operating procedures to ensure that program funds are used in accordance with regulatory and CoC Program NOFO requirements; and
- Maintain sufficient records to enable HUD and the CoC Monitoring Team to determine whether your agency is adhering to regulatory and other applicable requirements.

In addition to meeting the specific confidentiality and security requirements for HMIS data, agencies must develop and implement written procedures to ensure:

- All records containing protected identifying information of any individual or family that applies for and/or receives CoC Program assistance will be kept secure and confidential;
- The address or location of any family violence project assisted with CoC Program funds will not be made public, except with written authorization of the person responsible for the operation of the project; and
- The address or location of any housing of a program participant will not be made public, except as provided under a pre-existing privacy policy of the recipient or subrecipient and consistent with state and local laws regarding privacy and obligations of confidentiality.
- When an unaccompanied minor presents for services, data may be collected in HMIS but not shared. Providers must contact the WV BoS CoC HMIS staff to lock down the visibility of the record in the data system and notify them again when the youth turns 18 years old or becomes emancipated. Homeless services providers should coordinate with local child advocacy programs, youth providers, school systems, and the Public Child Welfare Agency to develop a plan to meet the unaccompanied minors housing and service needs.

This section should also include the process for how CoC/YHDP program staff should inquire with their supervisor about the confidential nature of specific information for clarification. If an employee leaves the agency, then any documents developed by that employee during their time with the agency must be surrendered to the Program Director upon separation of employment from the individual. Note that disciplinary actions may need to be taken against employees who knowingly or unknowingly discloses personally identifiable information of program participants.

1. What types of program participant information should be considered confidential (e.g. leasing files, case notes, electronic records)?
2. Are there any mandatory reporting requirements that override confidentiality (e.g. child/elder abuse, threats of harm)?
3. What procedures are in place for the safe disposal of paper records or electronic files when they are no longer needed?

RECORD RETENTION POLICIES AND PROCEDURES

This section should describe your agency's process for storing and retaining participant and financial files for your CoC/YHDP program. All records pertaining to CoC/YHDP program funds must be retained for at least five years from the final expenditure of grant funds. Where CoC/YHDP program funds are used for acquisition, new construction, or rehabilitation of a project site, records must be retained for 15 years after the date that the project site was first occupied, or used, by program participants. Copies (paper or electronic) may be substituted in place of the original records.

ENVIRONMENTAL REVIEW REQUIREMENTS

An environmental review is a process used to assess the potential environmental impacts of a project or activity before it is funded or carried out, particularly when federal funds are involved. For HUD programs, CoC and YHDP projects, the review ensures that any project—whether construction-related or non-construction—complies with applicable federal, state, and local environmental laws and regulations.

The three levels of review most common for CoC/YHDP funded projects are:

- Exempt or Categorically Excluded Not Subject to 58.5 (CENST) – For projects without any new environmental risks or impacts, including tenant-based rental assistance, tenant-based leasing, supportive services, and administrative costs, including leasing office or emergency shelter space
- Categorically Excluded Subject to 58.5 (CEST) – For projects with minor new risks and impacts, including project-based rental assistance and minor rehab
- Environmental Assessment (EA) – For any projects that include larger environmental impacts such as major rehabilitation, new construction, and demolition

Each CoC/YHDP funded project must have the appropriate completed form on file to establish that the environmental review requirements have been satisfied and maintain an appropriate Environmental Review Record (ERR). This section of your agency policies should describe your process for adherence to local, state, and federal environmental laws, which state or local government entity you plan to work with to complete the process, and who at your agency is responsible for ensuring the review is completed every 5 years.

CONFLICT OF INTEREST / CODE OF CONDUCT POLICIES

According to the CoC program regulations, agencies receiving CoC/YHDP funding must adopt and enforce policies to avoid conflicts of interest in both the program's operations and its decision-making processes.

The primary objective of these requirements is to:

- Ensure fairness and objectivity in decision-making processes.
- Promote trust and accountability in how program funds are managed and allocated.
- Prevent fraud, waste, and abuse by establishing clear guidelines for how potential conflicts should be identified, disclosed, and addressed.

CoC/YHDP funded agencies must have written conflict of interest policies and distinguish between two types of conflict of interest: one related to organizations that carry out the project, and another specific to the individuals involved in providing services and day-to-day project operations. In this section of your agency's policies, you should describe your internal processes related to adhering to both types of conflicts of interest. Conflict of interest policies must be accessible, along with records to show compliance with these policies, including records supporting exceptions to the individual conflict of interest prohibitions.

1. Are your agency's conflicts of interest limited to professional interests, or do they also

include personal relationships, family ties, or other outside relations?

2. Are you considering conflicts of interest for different roles at your agency (e.g. executive leadership, program staff, volunteers)?

A sample Code of Conduct policy is provided at the end of this document.

PERFORMANCE AND ON-GOING ASSESSMENT REQUIREMENTS

CoC/YHDP funded agencies are required to have written standards for services and methods for evaluating improvement of services that meet the standards set by HUD and the WV BoS CoC. Policies should detail how agency staff regularly monitor and review case management efforts, recordkeeping and leasing requirements, and review follow-up needs of program participants. Agencies should develop methods for evaluating these goals, objectives, and activities based upon the data generated through the review of participant's needs, existing services, and the follow-up evaluations on at least an annual basis.

This section of the policy should have clear goals and objectives that align with HUD's System Performance Measures and that detail action steps to reduce homelessness, improve housing stability, and promote overall wellbeing of the participants served in the project. Policies should outline key performance indicators in HMIS or your comparable database (e.g. housing placement and retention rates, increasing access to mainstream resources, increasing household income, positive exit destinations, etc.) for monitoring the progress of these goals.

This section should also include the process for on-going evaluation of its services to participants and evaluate system disparities to promote equitable services. Policies should detail how the agency collects qualitative and quantitative feedback directly from participants served by the program to assess:

- The quality and effectiveness of the services they are receiving (e.g., housing support, case management).
- How well the services are addressing their needs and barriers.
- Their level of satisfaction with the housing and services provided.
- Ensure hiring practices comply with applicable civil rights laws and reflect the populations served.
- Conduct annual reviews of program access, intake, service delivery, and exit planning to confirm consistency with fair housing and low-barrier requirements.

1. How does your agency measure the success of the program and make sure it's meeting the needs of participants?
2. How does your agency evaluate the effectiveness of your services? Who is responsible for evaluating services and making program improvements?

HMIS PARTICIPATION AND REPORTING REQUIREMENTS

Program participant information must be entered into HMIS, or your agency's comparable database for entities that are VAWA funded, in accordance with the data quality, timeliness and additional requirements found in the WV BoS CoC HMIS Policies and Procedures manual. HMIS reporting requirements are set to ensure that data is consistently collected, analyzed, and reported to track the progress of homeless services and identify gaps in the system. The primary objectives include:

- **Data Collection:** CoC/YHDP programs must collect and enter client-level data into the HMIS, or comparable database that include personal demographics, housing history, income sources, and barriers to housing.
- **Annual Reporting:** CoC/YHDP programs must export their Annual Performance Reports (APR) from the database and submit these outcomes in the Sage HMIS Reporting Repository (Sage). APRs are due within 90 days from the end of the grant term. These reports are used to evaluate the effectiveness of the program in ending homelessness, improving housing stability, and increasing income and access to community resources. Programs should review their APR data quarterly to assess the status of their project targets; review participant eligibility, needs, and outcomes; and stay up-to-date on bed utilization rates.
- **Data Quality:** CoC/YHDP programs must ensure that data is accurate, complete, and timely. This includes regular data validation and addressing any missing or incorrect entries with the CoC's HMIS team or the VSP comparable database administrator.
- **Performance Metrics:** CoC/YHDP Programs must track specific performance measures such as housing placement rates, length of homelessness, returns to homelessness, and income growth for participants. These performance metrics should align with the [CoC's Local Benchmarks for System Performance](#).

This section should describe how your agency is using HMIS, or your comparable database, to store collected data on individuals served by the CoC/YHDP project and meeting annual reporting requirements. For agencies permitted to utilize HMIS, this section should also outline methods for completing and storing an HMIS Release of Information (when applicable) for all adult household members every two years.

DRUG-FREE WORKPLACE POLICIES

HUD requires CoC/YHDP programs to maintain a drug-free workplace in accordance with the Drug-Free Workplace Act of 1988. These requirements are designed to promote a safe, healthy, and compliant working environment for CoC-funded projects and programs. This section of your policies should include the agency's methods for ensuring that employees, contractors, and volunteers:

- Do not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in the workplace.
- Implement drug-free awareness programs to inform staff about the program's policy, the dangers of drug abuse, and available counseling and rehabilitation services.
- Notify the employer of any criminal drug statute conviction occurring in the workplace within five days.
- Take disciplinary action or require the employee to participate in a drug abuse assistance or

rehabilitation program if they violate the policy.

Please note this requirement should not be extended to include drug-free requirements for program participants, as this would not align with Housing First principles.

LOBBYING RESTRICTIONS

HUD requires CoC/YHDP funded agencies to adhere to regulations prohibiting the use of federal funds for lobbying activities. Specifically, the CoC/YHDP program prohibits the use of HUD funds to influence or attempt to influence federal, state, or local government officials or employees in relation to the award or continuation of a federal grant. This prohibition aligns with the Byrd Anti-Lobbying Amendment, which mandates that no federal funds be used for lobbying

purposes. Agencies receiving CoC/YHDP funding must also ensure compliance with disclosure requirements if lobbying is conducted using non-federal funds. This section of your policies should include the agency's methods for ensuring compliance with this federal requirement.

PROCESS FOR REPORTING SIGNIFICANT PROGRAM CHANGE(S) TO HUD AND THE CoC

HUD requires CoC/YHDP funded agencies to report significant program changes that could affect the delivery of services, the scope of the program, or the use of funds. These changes must be reported to HUD for approval in a timely manner and be discussed with the CoC Monitoring Team prior to submitting this request to HUD. Agencies policies should outline who is responsible for completing this task and the process for assessing the need for project changes.

Significant changes that require HUD approval through a formal grant amendment:

- Change of recipient
- A shift of over 10% of the total amount awarded for one eligible activity to another activity
- A reduction in the number of units
- A change in the subpopulation served
- Change of project site
- Additions or deletions in the types of eligible activities approved for a project

For significant changes, agencies should:

- Prepare a detailed, written request to the local HUD CPD Field Office
- Explain the reason for the change Justify same or better level of service will be provided
- Attach all relevant revised application and technical submission exhibits reflecting the proposed change(s)

DRAWING ONCE PER QUARTER REQUIREMENT

HUD requires that CoC/YHDP funded agencies must draw down or request reimbursements on a quarterly basis. Agencies drawdown funds through the electronic Line of Credit Control System (eLOCCS), the primary grant and subsidy disbursement system that handles disbursement and cash management for the majority of HUD grant programs. Drawdowns should be completed no

earlier than when needed to pay for eligible costs with the period between expenditure and reimbursement minimized as much as possible. To complete this process, agencies must:

- **Submit Financial Reports:** Provide a quarterly financial report detailing expenditures, ensuring they align with approved budget categories.
- **Request Draws:** Funds are typically drawn based on actual expenses incurred for allowable costs in the approved budget. Grantees must submit a request for funds to HUD, ensuring the draw is within the scope of the grant agreement.
- **Meet Reporting Deadlines:** Grantees must adhere to specific quarterly deadlines for financial reporting and draw requests.
- **Maintain Documentation:** Keep accurate and up-to-date records for auditing purposes. These records should reflect all costs claimed for reimbursement.
- **Compliance:** Ensure all expenditures comply with HUD regulations, including those related to eligible activities, indirect costs, and procurement policies.

If these steps are not followed, the grantee may face delays in receiving funds or even penalties, so it is important to detail in this section of your agency policies who is responsible at your agency for completing the previously listed tasks and your internal processes for meeting this requirement.

DOCUMENTATION AND TRACKING PROCEDURES FOR CoC/YHDP MATCH

CoC project applicants are required to match all grant funds, except for leasing funds, with no less than 25 percent of funds or in-kind contributions from other sources. This partnership and/or contribution should be outlined through an MOU. Applicants may use funds from any source, including any other federal sources (excluding CoC funds), as well as State, local, and private sources, provided that funds from the source are not statutorily prohibited to be used as a match. Applicants may use the value of any real property, equipment, goods, or services contributed to the project as match, provided that if the recipient or subrecipient had to pay for them with grant funds, the costs would have been eligible under Subpart D of 24 CFR 578 (CoC Interim Rule). This section of your policy should detail who at your agency is responsible for documenting and tracking match and your internal processes for meeting this requirement.

Match Documentation

- New projects must document formal match agreement (e.g., MOU for in-kind) prior to grant agreement. Renewal projects must provide it to the field office upon request.
- If the CoC/YHDP funded agency needs to change its in-kind matching source, the match agreement must be in place before a new source can be counted as match.
- Must demonstrate that the match is spent on eligible activities and incurred within the grant term.
- Must keep source documentation (e.g., MOU) on file for review when needed.

Cash Match

- Cash match should be substantiated with written documentation provided on the source

agency's letterhead, signed, and dated by an authorized representative.

- Documentation must include:
 - Amount of cash to be provided for the project
 - Specific date the cash will be made available
 - Actual grant and fiscal year to which the cash match will be contributed Allowable activities to be funded by the cash match
- Unrecovered Indirect Costs can be used for match

In-kind Match

- In-kind donations must be substantiated with written documentation provided on the source agency's letterhead, signed, and dated by an authorized representative. An MOU for In-kind Services must be in place prior to provision of the service.
- Documentation must include:
 - Description and value of the donated goods
 - Specific date and grant (including fiscal year) for which the goods will be contributed
 - Method used to determine the value of the donation

CoC/YHDP ELIGIBLE ACTIVITIES

Understanding eligible activities is important for administrative, financial and program staff running a CoC/YHDP funded program. In addition to understanding what a program can spend CoC. YHDP funds on, knowing eligible activities will allow a program to properly document match. Eligible activities, also referred to as eligible cost categories, are the allowable uses of CoC Program funds. In short, it is what you are allowed to spend CoC Program funds on and expenditures that you can count as match. Eligible cost categories are also referred to as budget line items (BLIs). This section of your agency policies should include approved activities in your project application(s) and describe your procedures for ensuring that costs are in compliance with the CoC Interim Rule and included in your approved budget.

CoC/YHDP Eligible Costs:

- *Acquisition* funds may be used to pay up to 100 percent of the acquisition cost of real property for the purpose of providing housing (PSH or TH) or supportive services to homeless persons.
- *Rehabilitation* funds may be used to pay up to 100 percent of the cost to rehabilitate an existing structure that is owned (not leased) by the recipient or subrecipient, and that is used to provide housing (PSH or TH) or supportive services to homeless persons. These costs may include installing cost-effective energy measures or bringing an existing structure to State and local government health and safety standards.
- *New Construction* funds may be used to pay up to 100 percent of the cost of new construction, which can include:

- Building a new structure
- Building an addition to an existing structure that increases the floor area by more than 100 percent
- Acquiring land associated with the construction
- *Leasing* funds may be used to pay rent on structures or individual units to provide supportive housing or supportive services. Grants may be used to pay 100% of the costs of leasing an individual unit or structure. Leasing costs are eligible under the PSH, TH, and SSO components. Eligible leasing costs include:
 - Security deposits up to two month's rent
 - First and last month's rent of an individual unit
 - Staff or related costs to carry out leasing activities including conducting Housing Quality Standards (HQS), paying landlords, etc.
- Rent on vacant units until a new program participant is identified and moves in ● *Rental Assistance* funds may be used to pay part, or all when necessary, of the rent for a unit for eligible households. Rental assistance funds may be used in PSH, RRH, or TH to pay a portion of the rent. Assistance may be short-term (less than 3 months), medium-term (4-24 months) or longer-term if approved (more than 24 months).

Assistance may be tenant-based, sponsor-based or project-based. Eligible rental assistance costs include:

- First and last month's rent
- Security deposits (up to 2 months rent)
- Vacancy payments (up to 30 days – less than 90 days in an institution does not equal vacancy).
- Processing rental payments to landlords
- Examining participant income and family composition
- Providing housing information and assistance
- Inspecting units for compliance with housing quality standards
- Receiving new participants into the program
- *Supportive Services* funds may be used to pay the salary and benefits of the recipient and subrecipient staff who directly deliver eligible supportive services. It can also cover eligible services contracted with and performed by another agency. Additionally, any overhead costs directly related to providing supportive services are eligible costs. Supportive Service costs are eligible under the PSH, RRH, TH, and SSO components to address the needs of program participants and help with obtaining and maintaining housing. In general, Supportive Services funds may be used only on those services listed in the CoC Program Interim Rule, which includes:
 - Assessing service needs

- Moving costs
- Case management
- Childcare
- Education services
- Employment assistance & job training
- Food (no longer an eligible operating cost)
- Housing search & counseling services
- Legal services
- Life skills training
- Mental health services
- Outpatient health services
- Outreach services
- Substance abuse treatment services
- Transportation
- Utility deposits
- For supportive services that are directly delivered by CoC/YHDP program staff to program participants, the following costs are eligible: 1) Labor, supplies and material costs incurred to deliver the services; 2) Salary and benefits of the staff person delivering the service
- *Operating* funds are associated with the day-to-day physical operation of housing in which program participants are housed. Operating costs are eligible under the PSH and TH components. Eligible operating costs include:
 - Staff and overhead costs directly related to carry out the following activities:
 - Maintenance and repair of housing
 - Building security Property tax and insurance
 - Electricity, gas & water
 - Furniture
 - Equipment
 - Day-to-day operation of the supportive service-only facility (maintenance, repair, building security, furniture, utilities and equipment) are eligible as a supportive service
 - Ineligible operating costs include:

- Rental assistance and operating in the same unit
 - Emergency shelter or supportive services-only facilities
 - Maintenance and repair costs that are included in the lease
- *HMIS* funds may be used for costs associated with HMIS data collection. Eligible HMIS data collection costs include:
 - Purchasing or leasing computer hardware, software and/or software licenses
 - Leasing office space, equipment, furniture, and utilities for HMIS activities
 - Salaries, operating costs, and duties as required to operate an HMIS
 - Trainings related to the use of HMIS Reporting to CoC on HMIS
- *Project Administration* funds are eligible under all project components and may be used to conduct the following:
 - General management (e.g. case management supervision), oversight and coordination
 - Training on CoC requirements
 - Preparing Environmental Reviews
 - Costs of carrying out other CoC/YHDP eligible activities should be charged to those budget line items, NOT project administration.
- *YHDP Special Activities* funds may only be utilized by YHDP funded agencies. YHDP renewal applicants may continue to select previously approved Special YHDP Activities in their project application and may also request to add new Special YHDP Activities through the renewal process. YHDP recipients must provide written notice to HUD for use of these activities. A list of Special YHDP Activities can be found in the CoC/YHDP Program NOFO for the current fiscal year.
- *VAWA* funds may be used for facilitating and coordinating activities to ensure compliance with WV BoS CoC's Emergency Transfer Plan and monitoring compliance with the confidentiality protections. This eligible activity category is not subject to the CoC program's spending caps on administrative costs. Examples of eligible costs under emergency transfer facilitation and monitoring compliance with VAWA can be found in the CoC/YHDP Program NOFO for the current fiscal year.
- *Rural* funds may be used to administer activities that address barriers to transitioning families in rural areas to permanent housing and additional activities to increase capacity to address the unique challenges CoCs face when serving people experiencing homelessness in rural areas. Examples of eligible costs under the rural costs line item can be found in the CoC/YHDP Program NOFO for the current fiscal year.

ELIGIBLE ACTIVITY VS. ELIGIBLE COST

Eligible: All costs included in the CoC Program Interim Rule (24 CFR 578 Subpart D).

Approved: Each funded project has approved budget line items and may only spend CoC/YHDP funds on costs approved by HUD. HUD approval is required to amend the budget to spend

money on CoC/YHDP eligible costs other than those that were included in the project budget approved through the application process, unless the change represents less than 10% of the budget line item.

Indirect Costs are costs that have been incurred for “shared” or “joint” objectives and cannot be readily identified with any particular activity. Examples of indirect costs are rent, utilities, maintenance and other expenditures related to a shared space; and administrative and executive team functions that support multiple program areas.

Please note that Indirect Costs are different from Administrative CoC Costs. To bill HUD for indirect costs, the grantee must first have a method for how they determine and allocate (e.g., receive reimbursement) for their indirect costs. The grantee’s indirect cost rate must reflect the Federal Negotiated Indirect Cost Rate or the de minimis rate. Once determined, there are no HUD requirements for how indirect costs should be invoiced; however, it is best practice to bill the indirect costs under each approved activity type (e.g., Emergency Shelter Essential Services, RRH Housing Relocation and Stabilization Services, etc.). Indirect costs should be included each time the recipient or subrecipient bills for direct costs.

LEVERAGED COSTS

Leverage is the non-match cash or non-match in-kind resources committed to making a CoC project fully operational. This includes all resources in excess of the required 25 percent match for CoC Program funds as well as other resources that are used on costs that are ineligible in the CoC Program. Leverage funds may be used for any program related costs, even if the costs are not budgeted or not eligible in the CoC Program. Leverage may be used to support any activity within the project provided by the recipient or subrecipient. All CoC/YHDP renewal projects are encouraged to leverage both community healthcare and mainstream housing resources. All new projects funded from FY22 and after are required to leverage both healthcare and housing resources through a written commitment of value, dates of service, number of units/type of service provided. Agencies should describe in this section of the policy their process for engaging healthcare and non-CoC, YHDP or ESG housing partners to support the operation of your project(s), how you plan to maintain these partnerships, and methods for tracking progress and with the goal of improving program participant outcomes due to these partnerships.

ADHERENCE TO OMB UNIFORM GUIDANCE AND CoC REGULATORY REQUIREMENTS FOR FINANCIAL COMPLIANCE

Strong financial management procedures are essential for all CoC/YHDP funded agencies to have in place to ensure full compliance with the CoC Program Interim Rule as it pertains to the following:

- Budget Controls
- Uniform Requirements and Cost Principles
- Program Income
- Direct and Indirect Costs
- Procurement

Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal

Awards – Federal cost principles are regulations that help recipients and subrecipients determine eligible costs for specific activities identified in grant agreements and contracts and outlines financial management requirements including audits. The purpose of 2 CFR part 200 (OMB Universal Guidance) is to streamline the Federal government’s guidance on administrative requirements, cost principles, and audit requirements to more effectively focus Federal resources on improving performance and outcomes, while ensuring the financial integrity of taxpayer dollars in partnership with non-Federal stakeholders. To be allowable under Federal awards, costs must be:

- Necessary and reasonable to carry out the award
- Allocable to the award-funded activities
- Authorized (or not prohibited) under state or local laws
- In conformance with OMB guidance
- Consistent with state and local government activities
- Treated consistently
- Consistent with generally accepted accounting practices
- Not used for cost sharing or matching requirements of any other Federal award (unless specifically allowed by OMB)
- Adequately documented

Purchasing Goods – When purchasing goods and services using Federal funds, CoC/YHDP funded agencies must have written policies and procedures to ensure these purchases are carried out in an effective manner and adhere to general procurement standards. Agencies must maintain written standards of conduct covering actual and perceived conflicts of interest regarding the decisions made during the procurement process.

Internal Controls – Establishing internal controls is the creation of a process that ensures public resources go to the correct places usually through policies, practices, and procedures developed by agencies. Key elements of internal controls include:

- Organizational structure, as documented through organization charts and position descriptions
- Policies and procedures, including hiring policies
- Separation of duties, especially related to the handling of revenue and expenditures
- A secure recordkeeping system
- Regular reconciliation of budgets and records

Internal controls can help:

- Protect assets
- Ensure compliance with policies, rules, regulations, and laws
- Prevent errors and deceptive practices

- Verify accuracy of accounting
- Produce reliable and timely financial data
- Provide accurate information for oversight of programs and operations
- Achieve organizational mission and goals

AUDIT REQUIREMENTS – CoC/YHDP funded agencies who expend more than \$750,000 annually in Federal awards are required to comply with federal audit requirements and this requirement should be outlined in your agency’s policies.

1. Does your agency have written financial policies and procedures that outline how approval controls provide reasonable assurance that appropriate individuals approve recorded transactions in accordance with management’s general or specific criteria?
2. Does your agency have written financial policies and procedures that details how controls over the design and use of documents and records provide reasonable assurance that transactions and events are properly documented, recorded, and auditable?
3. Does your agency have written financial policies and procedures that outline how duties are segregated to effectively reduce the opportunity for someone to perpetrate or conceal errors or irregularities?
4. Does your agency have written financial policies and procedures that outline a clear protocol for all personnel when communicating to the appropriate supervisory officials regarding operating problems and noncompliance with laws and regulations?
5. Does your agency have written financial policies and procedures that detail internal control procedures which support the ability to prepare financial statements that are accurately presented in conformity with generally accepted or other relevant and appropriate accounting principles and regulatory requirements?

ADDITIONAL RESOURCES

WV BoS CoC Guidance: <https://wvceh.org/guidance/>

WV BoS CoC Monitoring: <https://wvceh.org/monitoring/>

WV BoS CoC Start Up Training: <https://wvceh.org/coc-training/>

CoC Interim Rule (24 CFR 578):

<https://www.in.gov/ihcda/files/housing-urban-dev-24-cfr-part-578.pdf>

OMB Universal Guidance (2 CFR 200):

<https://www.ecfr.gov/current/title-2/subtitle-A/chapter-II/part-200>

CoC Recordkeeping Requirements:

<https://www.hud.gov/sites/dfiles/State/documents/Recordkeeping-CoC-At-A-Glance.pdf>

HUD Exchange CoC Virtual Binder:

<https://www.hudexchange.info/homelessness-assistance/coc-esg-virtual-binders/>

Housing First Assessment Tool:

<https://www.hudexchange.info/resource/5294/housing-first-assessment-tool/> 34

CODE OF CONDUCT SAMPLE POLICY

Conflicts of Interest

1. No employee, officer or agent of the [INSERT YOUR ORGANIZATION NAME HERE], Inc. shall participate in selection, or in the award or administration of a contract supported by U.S. Federal funds if a conflict of interest would be involved. Such a conflict would arise when (i) the employee, officer, or agent, (ii) any member of his/her immediate family, (iii) his/her partner, or (iv) an organization which employs, or is about to employ, any of the above, has a financial or other interest in the first selected for award.
2. An employee, officers or agent of [INSERT YOUR ORGANIZATION NAME HERE], Inc. shall be careful to ensure that s/he is involved in no apparent or potential violations of this provision.

Gifts

1. The [INSERT YOUR ORGANIZATION NAME HERE's] officers, employees or agents will neither solicit nor accept gratuities, favors, or anything of monetary value from contractors, potential contractors, or parties to sub-agreements. Depending upon the circumstances, exceptions to this provision may be granted only in situations where the financial interest is not substantial or the gift is an unsolicited item of nominal intrinsic value.
2. An employee, officer or agent of the [INSERT YOUR ORGANIZATION NAME HERE] shall be careful to ensure that s/he is involved in no apparent or potential violations of this provision.

Administration

1. Any employee, officer or agent of the [INSERT YOUR ORGANIZATION NAME HERE], Inc. should report violations of this Code of Conduct to his/her supervisor, or to the President/CEO.
2. There will be no retaliation against any party who makes a good faith complaint concerning violations of this Code of Conduct, regardless of whether it is ultimately determined that such violation has in fact occurred. Nor will there be any retaliation against any party who provides information in the course of an investigation into alleged violations of this Code of Conduct.
3. All corporation supervisors have a responsibility to be sensitive to and deal with violations of this Code of Conduct. This responsibility includes monitoring all relevant work activities and contacting a higher level supervisor or the President/CEO, if it is reasonably believed that a violation of the Code of Conduct has occurred. Any such report shall be investigated regardless of whether a formal complaint has been made.

Discipline

1. Any employee, officer or agent of the [INSERT YOUR ORGANIZATION NAME HERE], Inc. determined to have committed a violation of this Code of Conduct shall be subject to disciplinary action, up to and including termination.

Dissemination

1. Any employee, officer or agent of the [INSERT YOUR ORGANIZATION NAME HERE], Inc. shall be informed of this Code of Conduct when this Code is adopted, and/or when s/he is initially retained by the [INSERT YOUR ORGANIZATION NAME HERE], Inc. and on an annual basis thereafter.

*** This document is not an official HUD publication, but has been provided by HUD as a sample policy for reference.*