Instructions: The documents listed below are required by STEH to effectively monitor your programs. All documents are due to STEH by the date specified in your monitoring email.

Submission: Documents must be uploaded to the appropriate folder in Microsoft Teams. If submitting individual documents, each item should contain the section heading and corresponding document number listed below. (i.e., Financial/Agency Documentation 1)

Updates: If existing policies and procedures in the Microsoft Teams folder are current, it is not necessary to upload them again. Revised policies may be uploaded, and defunct policies must be deleted.

Please note that current versions of the following documents are required to be submitted each year:
- Debarment Certificate
- Chronically Homeless Documentation Tracker
- Board Member Certification
- Emergency Transfer Request Tracker
- New Employee Mandated Reporter Training Tracker

✓		**Financial/Agency Documentation:**
	1	Written Financial Management Policies and Procedures including Chart of Accounts relevant to grant
		2 CFR 200.302; 24CFR 578.23(c)(5); 24 CFR 578.103(a)
	2	Procurement Policy
		2 CFR 200.318; 2 CFR 200.319
	3	Record Retention Policy
		24 CFR 578.103(18)(c)(1)(2)
	4	Confidentiality Policy/Measures to Protect Personally Identifiable Information
		24 CFR 578.103(b); 2 CFR 200.79; 2 CFR 200.82; 2 CFR 200.303(e)
	5	Conflict of Interest Policy
		2 CFR 200.318; 24 CFR 578.95(a)
	6	Drug Free Workplace Policy and Program Information
		2 CFR 2429; CoC Program NOFA
	7	Organizational Chart for all positions charged to the grant
		Required for review of payroll transactions
	8	Job Descriptions for all employees whose positions are billed to the grant, including their names
		Required for review of payroll transactions
	9	Fair Housing Policy
		24 CFR 578.93; 24 CFR part 8; 24 CFR part 100; 24 CFR Part 5 Subpart A
	10	Insurance Certificates, Fidelity Bonds, and Worker's Compensation Policy
		STEH Funded Subaward Agreement
	11	Whistleblower/Ethics Policy
		2 CFR 200.300; 2 CFR 200.205
	12	Debarment Certificate (use the template attached to email)
		2 CFR 200.113; 2 CFR 200.213
	13	Executed MOUs for all in-kind match for the current operating year if not previously provided to STEH
		24 CFR 578.73(b)(3)(i)
✓		**CoC Program Documentation**
	14	Program Policies and Procedures, including intake procedures
		2 CFR 200.303; 24 CFR 578.103(a)
	15	Domestic Violence Policy
		24 CFR 578.23(c)(4)(i)(ii); 24 CFR 578.103(a)(17)
	16	Housing First Policy (if applicable)
		HUD CPD Notice 16-11

	17	Participant Rights and Responsibilities
		24 CFR 578.91
	18	Participant Termination Policy
		24 CFR 578.91
	19	Grievance Policy and Procedures for program participants
		24 CFR 578.91
	20	All standard program documents, including documentation provided to participants
	21	PSH only – Chronically Homeless Documentation Tracker
	22	Lease/Occupancy Agreement for site-based programs
		24 CFR 578.49(b)(5); 578.77
	23	Rental Assistance Agreement (between project and landlord)
		24 CFR 578.99(j)(5)
	24	Board Member Certification (use the template attached to email)
		24 CFR 578.75(g)(1); 24 CFR 578.103(a)(12)
	25	Emergency Transfer Request Tracker
		24 CFR 578.103(a)(6)(ii)
	26	A narrative explaining how the agency involves homeless individuals and families through employment; volunteer services; or otherwise in constructing, rehabilitating, maintaining, and operating the project, and in providing supportive services for the project.
		24 CFR 578.103(a)(13)
	27	Projects routinely serving families only – New Employee Mandated Reporter Training Tracker
		Community Policy: Mandated Reporting as a Child Abuse and Neglect Prevention Response
	28	HUD Visual Assessment Certificates of Completion (any not previously submitted)
		Required for all persons completing HQS inspections as of 6/6/2022
✓		**HMIS Documentation**
	27	Time-stamped monthly data quality reports (**PDF** version of the HUDx-225 report). Upload reports starting with the month after your previous year's submission, and ending with the most recent reports you ran. For example, if you uploaded reports for July 2020 through February 2021 during your 2021 annual monitoring, this year you should upload reports starting in March 2021. If your 2022 annual monitoring falls in April, you must upload March 2021 reports through February 2022 (if you have already run the March 2022 reports by the time your documents submission is due, you may include those as well, but March 2022 would not be required).
		Cincinnati/Hamilton County HMIS Data Quality Plan
	28	Security procedures based on HUD Data and Technical Standards, including procedure for securing: networks, computers, mainframes, and servers. **NOTE:** If using only the community policy for this requirement, you do not need to submit anything for this.
		HMIS Data & Technical Standards Final Notice; Cincinnati/Hamilton County Security & Privacy
	29	Self-monitoring privacy & security checklist, completed by agency in past year
		Cincinnati/Hamilton County HMIS Security & Privacy Plan
	30	Employee names who serve as the following: Security officer, Point of Contact, approved designee (if applicable)
		Cincinnati/Hamilton County HMIS Data Quality Plan
	31	Background check on security officer. **NOTE:** Only required if you have not previously submitted a background for the employee who is currently serving as your security officer.
		Cincinnati/Hamilton County HMIS Security & Privacy Plan
	32	Agency's procedure on how questions or complaints about privacy and security will be submitted and addressed
		Cincinnati/Hamilton County HMIS Security & Privacy Plan
	33	Policy limiting internal access to data

		Cincinnati/Hamilton County HMIS Security & Privacy Plan
	34	Internal procedure to be used in the event of a security or privacy violation
		Agency Participation Agreement
	35	URL link to where the Privacy Notice & Client Consent Form is posted on your public-facing website
		HMIS Data and Technical Standards Final Notice 4.2.4
	36	List of all persons with an account in Clarity. Please note if they use Clarity on a computer, mobile device, or both. <u>Also note each user's main working location</u> (e.g. WFH, Agency's main office, etc.)
		Required for HMIS monitoring
	38	**YWCA ONLY:** Clarity HUDX-225 Data Quality reports. Start date of 1 full year ago, end date of the date the reports are run. 1 Data Quality report for each program active during that period. Separate by component type when applicable (i.e. for TH/RRH programs).
		Cincinnati/Hamilton County HMIS Data Quality Plan
	39	**YWCA ONLY:** List of active projects in Clarity
		Required for HMIS monitoring
	40	**YWCA ONLY:** 2 screenshots of ROIs in the Data Quality Dashboard. #1 with Reporting Period as 'in the past 1 day' and Clients Active as Yes. #2 with Reporting Period as 'in the past 1 year' and Clients Active not filtered. All projects.
		Required for HMIS monitoring