

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
- Board Member Certification
- Emergency Transfer Request Tracker
- New Employee Mandated Reporter Training Tracker

| ✓ | Financial/Agency Documentation: |
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| 1 | Written Financial Management Policies and Procedures including Chart of Accounts relevant to grant 2 CFR 200.302; 24 CFR 576.500; 24 CFR 576.100-109 |
| 2 | Procurement Policy 2 CFR 200.318; 2 CFR 200.319, 24 CFR 576.202-203, 24 CFR 576.500(v)(2) |
| 3 | Record Retention Policy 24 CFR 576.500(v); 24 CFR 576.500(y) |
| 4 | Confidentiality Policy/Measures to Protect Personally Identifiable Information 2 CFR 200.79; 2 CFR 200.82; 24 CFR 576.500(x); 2 CFR 200.303(e) |
| 5 | Conflict of Interest Policy 2 CFR 200.318; 24 CFR 576.404(a, b, c); 24 CFR 576.500(p) |
| 6 | Drug Free Workplace Policy and Program Information 2 CFR 2429 |
| 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 576.407(a); 24 CFR 576.500(s)(1); 24 CFR part 5 Subpart A; 24 CFR Part 8 and Part 100 |
| 10 | Insurance Certificates, Fidelity Bonds, and Worker 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 |
| ✓ | ESG Program Documentation |
| 13 | Program Policies and Procedures 2 CFR 200.303; 24 CFR 576.102; 24 CFR 576.108; 24 CFR 576.400; 24 CFR 576.500 |
| 14 | Habitability/HQS Policy 24 CFR 576.403(c); ESG Program Manual |
| 15 | Domestic Violence Policy 24 CFR 576.102(a)(1)(i)(g); 24 CFR 576.400(e)(3)(iii); 24 CFR 576.409 |
| 16 | Participant Rights and Responsibilities 24 CFR 576.402; 24 CFR 576.408 |

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| 17 | Lease/Occupancy Agreement for site-based programs |
| | 24 CFR 576.105; 24 CFR 576.106 (g) |
| 18 | Rental Assistance Agreement (between project and landlord) for RRH |
| | [24 CFR 576.106(e); 24 CFR 576.500(h)] |
| 19 | Participant Termination Policy |
| | 24 CFR 576.402; 24 CFR 576.409 |
| 20 | Grievance Policy and Procedures for program participants |
| | 24 CFR 576.402 |
| 21 | All standard program documents, including documentation provided to participants |
| 22 | Board Member Certification (use the template attached to email) |
| | 24 CFR 576.405 |
| 23 | Emergency Transfer Request Tracker |
| | 24 CFR 576.500(s)(5) |
| 24 | A narrative explaining how the agency involves homeless individuals and families, to the maximum extent practicable, in constructing, renovating, maintaining, and operating facilities assisted under ESG, in providing services assisted under ESG, and in providing services for occupants of facilities assisted under ESG (could include employment or volunteer services) |
| | 24 CFR 576.405(c) |
| 25 | Projects routinely serving families only – New Employee Mandated Reporter Training Tracker |
| | Community Policy: Mandated Reporting as a Child Abuse and Neglect Prevention Response |
| 26 | HUD Visual Assessment Certificate of Completion |
| | 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 & |
| 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 |

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| | | 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. Also note each user's main working location (e.g. WFH, Agency's main office, etc.) |
| | | Required for HMIS monitoring |
| | 37 | HMIS crosswalk completed (complete the template attached to email – if applicable) |
| | | Required for HMIS monitoring |