

CoC Policies & Procedures Checklist

This list of program policies and procedures includes CoC Program requirements.

- Not all requirements specifically state that your agency must have a policy or procedure, but in practice, to ensure that the requirement is met, many grant requirements necessitate written policies and procedures. Grant requirements noted with a (*) are specifically required to have a policy or procedure.
- Not all policies listed here are necessary, or desirable, for all programs.
- In addition to this list, your agency should have all other policies required for compliance with HUD’s current CoC Program requirements, including HMIS related policies. Agencies regularly should refer to the CoC Program Interim Rule, any other notices or regulations HUD publishes, and requirements HUD may establish via the annual Notice of Funding Availability process.

□	Policy & Procedure
<i>Program Operations</i>	
	Standard Operating Procedures*
	Subrecipients and Contractors
	Emergency Safety and Evacuation Procedures
	Anti-Lobbying
<i>Financial Management</i>	
	Financial Management Policies and Procedures, Including Among Other Issues:*
	Match
	Procurement
<i>Grant-Related</i>	
	Applying for CoC Program Funds
	Grant Agreement/Execution
	Program-Type/Activity-Specific Requirements (e.g. Eligible Costs, Eligible Clients)
	Displacement, Relocation, and Acquisition
	Faith-Based Activities and Requirements Relevant to Faith-Based Providers
	Combining/Replacing State/Local Government Funds with CoC Program Funds
	Grant Amendment/Project Changes
	Grant Close-Out
	Recordkeeping/Documentation
	Performance Evaluation
	Monitoring
	Reporting
	Internal Auditing for Compliance with CoC Program and HUD Requirements
	Coordinated Entry/ Written Standards for Providing CoC Assistance*



<i>Staff & Board</i>	
	Drug-Free Workplace*
	Staff Rules and Regulations
	Code of Conduct, Conflict of Interest*
<i>Housing-Related</i>	
	Housing Selection, Standards, and Related
	Lead-Based Paint
<i>Non-Discrimination</i>	
	Affirmatively Furthering Fair Housing*
	Reasonable Accommodation and Accessibility for Persons with Disabilities*
	Nondiscrimination and Equal Opportunity*
	Outreach*
<i>Program-Participant-Related</i>	
	Client Eligibility
	Confidentiality*
	Domestic-Violence-Related
	Recordkeeping/Documentation
	Charging Clients and Tenants: Annual Income, Occupancy Charges/Resident Rent, Program Fees
	Mainstream Benefits*
	Educational and Related Services*
	Services Provided, Including Residential Supervision
	Participation of Homeless Individuals in Policy Making Functions and Day-To-Day Program Operations
	Program Rules and Regulations for Participants and Clients
	Termination of Assistance to Program Participants*
<i>Required Policies/Procedures for Specific Projects (See Detailed Charts Below for Applicability)</i>	
	Resolving Landlord-Tenant Disputes*
	Section 3*

Detailed Information on Requirements for Policies & Procedures

Program Operations

STANDARD OPERATING PROCEDURES

Ensure that CoC Program funds are used in accordance with CoC Program Interim Rule requirements

*Requirement Applies To*¹: Recipient, subrecipient

Relevant Citations for Additional Information: [24 CFR 578.103\(a\)](#). See also [24 CFR 578.23\(c\)\(1\)](#) (requiring that recipient agrees via grant agreement to ensure project operation in accordance with all McKinney-Vento Act and CoC Program Interim Rule requirements); [24 CFR 578.23\(c\)\(11\)](#) (stating that recipient must enter into subrecipient agreements requiring subrecipients to operate projects in compliance with CoC Program Interim Rule) and [24 CFR 578.23\(c\)\(12\)](#) (recipient's grant agreement includes recipient requirement to comply with other terms and conditions HUD may establish by NOFA); [24 CFR 578.107](#) (providing information regarding applicable sanctions for failure to meet a program requirement and the information on which HUD will rely to conduct performance reviews)

SUBRECIPIENTS AND CONTRACTORS

- Non-procurement debarment and suspension: Rules requiring verification that the program, its officers, and its staff are not debarred/suspended from contracting with the Federal Government
- Recordkeeping requirements
- Salary limitation for consultants
- Contracting with a state agency/agency of a political subdivision of a state:² Must comply with [Section 6002 of the Solid Waste Disposal Act](#) procurement policies promoting recycled materials usage and waste management energy and resource recovery, including establishing an affirmative procurement program
- Recipient makes timely funds distributions to subrecipients
- Other requirements

¹ Although the CoC Program Interim Rule may explicitly require only a CoC, recipient, or subrecipient to have these policies and procedures, HomeBase would recommend that all of these entities consider whether implementing consistent policies and procedures would help ensure that they are able to maintain full compliance with CoC Program requirements. Where neither recipient nor subrecipient is listed, HUD has not stated a requirement.

² This also applies directly to state agencies and agencies of a political subdivision of a state.

Relevant Citations for Additional Information:

- Non-procurement debarment and suspension: [24 CFR 578.23\(c\)\(4\)\(v\)](#) (relating requirement to subrecipients), [24 CFR 578.99](#) (citing [24 CFR part 5](#), which refers to requirements in [2 CFR part 2424](#)), [24 CFR 578.103\(a\)\(15\)](#) (requiring compliance documentation). See also [2 CFR part 180](#) (providing additional details, purpose, and definitions); [FY 2013 CoC Program NOFA General Section, section III.C.2.e](#) (stating that no federal funds can be awarded to applicants debarred/suspended from doing business with the Federal Government or proposed to be as such)
- Recordkeeping requirements: [24 CFR 578.103\(a\)\(16\)](#)
- Salary limitation for consultants: [FY 2013 CoC Program NOFA General Section, III.C.3.n](#). See Office of Personnel Management pay scales: <http://www.opm.gov/oca/11tables/indexGS.asp>
- Contracting with a state agency/agency of a political subdivision of a state: [24 CFR 578.99\(b\)](#) (listing [Section 6002 of the Solid Waste Disposal Act application](#))
- Procurement: [24 CFR 578.103\(a\)\(16\)\(iii\)](#) (requires recipients and subrecipients to retain copies of all procurement contracts and document compliance with procurement requirements in [24 CFR part 84](#) or [24 CFR 85.36](#) as applicable)
- Timely recipient fund distributions to subrecipients: [24 CFR 578.85](#). See also [FY 2016 CoC Program NOFA, Section V.G.2.d\(2\)](#) (including timeliness within project renewal threshold criteria and among reasons HUD would have the right to reduce or reject a project applicant's funding request)
- Other requirements: [24 CFR 578.23\(c\)\(4\)](#)

EMERGENCY SAFETY AND EVACUATION PROCEDURES

ANTI-LOBBYING

Relevant Citations for Additional Information: [24 CFR 578.99](#) (referencing [24 CFR part 84/85](#)); [24 CFR 578.103\(a\)\(15\)](#) (requiring documentation of compliance). See also Project Applicant Profile, [Disclosure of Lobbying Activities \(SF-LLL\)](#)

Financial Management

FINANCIAL MANAGEMENT POLICIES AND PROCEDURES ³

Written procedures that comply with applicable sections.⁴ See, e.g., the following:

³ Unified Funding Agencies have additional requirements

⁴ Including the following OMB Circulars and Government-wide Regulations:

- *For nonprofits:* A-122 (Cost Principles for Non-Profit Organizations) ([2 CFR part 230](#)), A-133 (Audits of States, Local Governments, and Non-Profit Organizations), and HUD's implementing regulations for OMB Circular A-110 at [24 CFR part 84](#) (Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-Profit Organizations). OMB Circular A-110 is at [2 CFR part 215](#).
- *For state and local governments:* A-87 (Cost Principles Applicable to Grants, Contracts and Other Agreements with State and Local Governments) ([2 CFR part 225](#)), A-133 (Audits of States, Local Governments, and Non-Profit Organizations), and HUD's implementing regulations for OMB Circular A-102 at [24 CFR part 85](#) (Administrative Requirements for Grants and Cooperative Agreements to State, Local, and Federally Recognized Indian Tribal Governments)
- *For educational institutions:* A-21 (Cost Principles for Education Institutions) ([2 CFR part 220](#)), A-133 (Audits of States, Local Governments, and Non-Profit Organizations), and HUD's implementing regulations for OMB Circular A-110 at [24 CFR part 84](#) (Uniform Administrative Requirements for Grants and Agreements with Institutions of Higher Education, Hospitals, and other Non-Profit Organizations). OMB Circular A-110 is at [2 CFR part 215](#).
- See A-133 Compliance Supplement (providing an annual OMB release related to OMB Circular A-133).

- Written procedures to minimize the time elapsing between the transfer of funds to the recipient from the U.S. Treasuries and the issuance or redemption of checks, warrants or payments by other means for program purposes by the recipient [[24 CFR 84.21\(b\)\(5\)](#)]
- Written procedures for determining the reasonableness, allocability and allowability of costs in accordance with the provisions of the applicable Federal cost principles and the terms and conditions of the award [[24 CFR 84.21\(b\)\(6\)](#)]
- Audit procedures
- Accounting policy and procedures
- Effective control over and accountability for all funds, property and other assets: Recipients shall adequately safeguard all such assets and assure they are used solely for authorized purposes [[24 CFR 84.21\(b\)\(3\)](#)]⁶

Requirement Applies To: Recipient, subrecipient

Relevant Citations for Additional Information: [24 CFR 578.3](#) (defining private nonprofit as having an accounting system/designated fiscal agent that meets HUD requirements, and is functioning and operating in accordance with generally accepted accounting principles); [24 CFR 578.99\(e\)](#) (requiring compliance with applicable OMB circulars); [24 CFR part 84](#) (nonprofits) or [24 CFR part 85](#) (government-related). See also published HUD training materials: [Numbers Don't Lie, They Hide](#) and [Fund Accounting Clinic](#). See also [24 CFR 578.85\(c\)\(3\)](#) (requiring at least quarterly draw-downs); [24 CFR 578.97](#) (requiring program income to be added to HUD funds and used for eligible activities in accordance with CoC Program requirements); [24 CFR 578.29](#) (subsidy layering); and [FY 2016 CoC Program NOFA, Section V.G.2.d\(2\)](#) (listing project renewal threshold criteria and reasons for which HUD has the right to reduce or reject project applicant's funding request, including timeliness, inadequate financial management practices, and others related to financial management)

MATCH ⁷

Relevant Citations for Additional Information: [24 CFR 578.73](#) (providing CoC Program match requirements), [24 CFR 578.103\(a\)\(10\)](#) (listing recordkeeping requirements), [24 CFR 84.23](#) (setting out match criteria); [24 CFR 578.23\(c\)\(6\)](#) (requiring subrecipient match monitoring and reporting it to HUD)

PROCUREMENT

- *But see* Proposed OMB Uniform Guidance: Cost Principles, Audit, and Administrative Requirements for Federal Awards, *available at* http://www.whitehouse.gov/omb/grants_docs (proposing changes to OMB Circular A-133 and the other relevant OMB Circulars, including those on cost principles and administrative requirements)

⁵ See also [24 CFR 578.85\(c\)\(3\)](#) (requiring recipient to draw-down funds at least quarterly after eligible activities begin). HomeBase would recommend integrating this into any relevant procedures and a process for ensuring that draw-down requests are supported by actual expenditures for eligible costs and activities listed in the relevant HUD-approved project budget and are for eligible clients.

⁶ Imply a requirement for internal control system. Policies and procedures would be part of this. See [Fund Accounting Clinic](#), pp. 9-10 (describing specific written components to include). Suggestions from this clinic manual include these:

- Written job descriptions, especially for those funded at least in part by HUD funding
- Written policy manual specifying approval authority for all financial transactions and guidelines for controlling expenditures
- Written procedures for recording financial transactions, and an accounting manual and chart of accounts
- Written hiring policies (for financial staff)
- Written policies and procedures to ensure that access to accounting records, assets and confidential records are adequately controlled and access is limited to authorized persons
- Written procedures for regular reconciliation of financial records [HomeBase recommends that reconciliation include LOCCS voucher reconciliations to ensure that draw-down requests are for actual, eligible costs]

⁷ HomeBase recommends that an agency integrate relevant match requirements and procedures into program-specific and financial management-related sections of its policies and procedures manual.

Relevant Citations for Additional Information: [24 CFR 578.103\(a\)\(16\)\(iii\)](#) (requires recipients and subrecipients to retain copies of all procurement contracts and document compliance with procurement requirements in [24 CFR part 84](#) or [24 CFR 85.36](#) as applicable); [24 CFR 578.95\(a\)](#) (lists specific procurement-related requirements for conflicts-of-interest and codes of conduct); [24 CFR 578.99\(b\)](#) (provides procurement-related requirements related to recycling and using recycled materials from Section 6002 of the Solid Waste Disposal Act)

Grant-Related

APPLYING FOR COC PROGRAM FUNDS

Relevant Citations for Additional Information: [24 CFR 578.19](#). See [24 CFR 578.21](#) for award process, [24 CFR 578.27](#) for Consolidated-Plan-related requirements, [24 CFR 578.33](#) for renewal information, [24 CFR 578.35](#) for appeals.

GRANT AGREEMENT/EXECUTION

Relevant Citations for Additional Information: [24 CFR 578.21\(c\)](#)

PROGRAM-TYPE-/ACTIVITY-SPECIFIC REQUIREMENTS ⁸

- Eligible and ineligible costs⁹
- Eligible clients for particular programs/program types
- Restrictions on combining funds for specific activities
- Environmental review requirements for HUD- or local-funded leasing/acquisition/construction/rehabilitation/demolish/repair/covert/dispose of property for a project
- Timeliness¹⁰
- Reporting: Projects with only acquisition/rehabilitation/new construction funds must submit APRs for 15 years unless HUD provides an exception
- Restrictive covenants for acquisition/rehabilitation/new construction
- Site control
- Retention of assistance after qualifying member's death or incarceration/institutionalization more than 90 days
- Require recipients and subrecipients to have signed occupancy agreements/leases/sub-leases with program participants residing in housing
- Residential supervision (supportive housing)
- Limitation on transitional housing

Relevant Citations for Additional Information:

⁸ [The Coastal Barrier Resources Act](#), one of the federal requirements with which the CoC Program Interim Rule mandates compliance ([24 CFR 578.99\(d\)](#)), does not appear to apply to California at this time. [The Davis-Bacon Act](#) provisions do not apply. ([24 CFR 578.99\(h\)](#))

⁹ HomeBase recommends that this be integrated into the budgeting and budget-actual cost comparison sections of an agency's financial management policies and procedures.

¹⁰ HomeBase recommends that relevant information be integrated into program-specific activities sections (e.g., for rehabilitation and new construction) and into financial management sections of the policies and procedures.

- Eligible and ineligible costs: [24 CFR 578.37-578.63](#). See also *FY 2016 CoC Program NOFA, Section V.G.2.d(2)(g)* (including history of expending funds on ineligible costs as one of the reasons for which HUD may reject or reduce project applicant’s renewal funding requests).
- Restrictions on combining funds: [24 CFR 578.87\(c\)](#)
- Environmental review: [24 CFR 578.31](#); [24 CFR 578.99\(a\)](#); [24 CFR 578.103\(a\)\(15\)](#); [24 CFR part 50](#). See [24 CFR 578.59\(a\)\(3\)](#) (stating that costs of carrying out environmental review are eligible project admin costs)
- Timeliness: [24 CFR 578.85](#). See [24 CFR 578.107\(d\)](#) (listing reasons that HUD may deobligate funds, including if timeliness standards in §578.85 are not met)
- Reporting: [24 CFR 578.103\(e\)](#) (listing APR requirements for acquisition/rehabilitation/new construction projects)
- Restrictive Covenants: [24 CFR 578.81](#) (listing applicable requirements for acquisition/rehabilitation/new construction)
- Site control: [24 CFR 578.25](#)
- Retention of assistance after qualifying member’s death or incarceration/ institutionalization: [24 CFR 578.75\(i\)](#) (stating that household members retain right to rental assistance until expiration of lease in effect at time of qualifying member’s death or long-term incarceration/long-term institutionalization (i.e., long-term – more than 90 days))
- Occupancy agreements/leases/sub-leases: [24 CFR 578.77\(a\)](#)
- Residential supervision: [24 CFR 578.75\(f\)](#) (requirement to provide residential supervision as necessary to facilitate adequate service provision throughout term of commitment to provide supportive housing)
- Limitation on TH: [24 CFR 578.79](#)

DISPLACEMENT, RELOCATION, AND ACQUISITION

Relevant Citations for Additional Information: [24 CFR 578.83](#); [24 CFR 578.61](#). See [49 CFR part 24](#) (providing implementing regulations for the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (URA), [42 U.S.C. 4601–4655](#))

FAITH-BASED ACTIVITIES AND REQUIREMENTS RELEVANT TO FAITH-BASED PROVIDERS

Relevant Citations for Additional Information: [24 CFR 578.87\(b\)](#); [24 CFR 578.103\(a\)\(13\)](#)

COMBINING/REPLACING STATE/LOCAL GOVERNMENT FUNDS WITH COC PROGRAM FUNDS

Relevant Citations for Additional Information: [24 CFR 578.87\(a\)](#) (detailing no supplanting requirement); [24 CFR 578.87\(b\)\(6\)](#) (noting that faith-based requirements apply to any State and local government funds comingled with/not segregated from federal funds)

GRANT AMENDMENT/PROJECT CHANGES

Relevant Citations for Additional Information: [24 CFR 578.105](#)

GRANT CLOSE-OUT¹¹

Relevant Citations for Additional Information: [24 CFR 578.109](#)

RECORDKEEPING/DOCUMENTATION

Must establish and maintain sufficient records to enable HUD to determine whether recipient and subrecipients are meeting CoC Program Interim Rule requirements

- *Record Retention Period*: must be retained for the 5 years, or 15 years where CoC Program funds were used for acquisition/new construction/rehabilitation
- *Records access*: HUD, HUD OIG, Comptroller General of U.S. (to CoC grant-related records for as long as records are retained, not limited to 5/15 year retention period), public access (to records re. recipient's uses of CoC funds during preceding 5 years, subject to State, local, and CoC Program Interim Rule privacy, confidentiality laws/requirements)

See specific documentation requirements related to 17¹² topics¹³

Relevant Citations for Additional Information: [24 CFR 578.103](#)

PERFORMANCE EVALUATION¹⁴

Relevant Citations for Additional Information: See e.g., [FY 2016 CoC Program NOFA, Section V.G.2.d\(2\)](#) (listing project renewal criteria, including performance-related ones) and II.A.1 and 2 (providing performance- and strategic planning-related scoring criteria for the CoC's application, which may inform the agency's evaluation of its own projects and goal-setting)

MONITORING¹⁵

Relevant Citations for Additional Information: [24 CFR 578.23\(c\)\(2\)](#) (detailing requirements in recipient grant agreements, including monitoring and reporting on project progress to the CoC); [24 CFR 578.23\(c\)\(6\)](#) (requiring subrecipient match monitoring and reporting it to HUD); [24 CFR 578.23\(c\)\(8\)](#) (requiring at least annual subrecipient monitoring as part of recipient's grant agreement); [24 CFR 578.103\(a\)\(16\)\(9\)](#) (stating that recipient must retain documentation of monitoring subrecipients, including monitoring findings and related corrective actions)

REPORTING¹⁶

¹¹ HomeBase recommends that applicable procedures also should be integrated into relevant sections of the financial management policies and procedures.

¹² Topics are CoC records, UFA records, homeless status, at risk of homelessness status, records of reasonable belief of imminent threat of harm, annual income, program participant records, housing standards, services provided, match, conflicts of interest, homeless participation, faith-based activities, affirmatively furthering fair housing, other federal requirements, subrecipients and contractors, and other records HUD specifies.

¹³ HomeBase recommends listing the documentation requirements related to specific topics within a general recordkeeping section, and also integrating them into a relevant topical and any applicable financial management sections of the agency's policies and procedures. E.g., [24 CFR 578.103\(a\)\(12\)](#) describes conflict of interest recordkeeping requirements, so this should be included within both the policies and procedures sections on conflict of interest and recordkeeping.

¹⁴ This should include any procedures to comply with any performance evaluation done by the CoC.

¹⁵ HomeBase would recommend including relevant procedures for the agency to self-monitor its programs and to comply with any monitoring the CoC in which the agency's programs operate performs.

¹⁶ HomeBase would recommend including relevant procedures to comply with any reporting the CoC in which the agency's programs operate require. This would include any data collection (e.g., Housing Inventory Count) and HMIS-related reporting.

Relevant Citations for Additional Information: See [24 CFR 578.23\(c\)\(2\)](#) (detailing requirements in recipient grant agreements, including monitoring and reporting on project progress to the CoC); [24 CFR 578.23\(c\)\(4\)\(vi\)](#) (requiring recipients to get subrecipient certification that subrecipients will provide HUD-required information like data and reports); [24 CFR 578.23\(c\)\(6\)](#) (requiring subrecipient match monitoring and reporting it to HUD as part of recipient's grant agreement); [24 CFR 578.103\(e\)](#) (stating that recipient must collect and report data on its use of CoC Program funds to HUD in APRs and any other additional reports HUD specifies, and meet reporting requirements in [24 CFR part 84](#) or [85](#) as applicable); [24 CFR 578.99\(a\)](#) (requires recipient to report subawards made as pass-throughs, subrecipient or vendor awards to comply with Transparency Act reporting requirements); [FY 2016 CoC Program NOFA, Section IX.B.3](#) (listing reporting requirements). [24 CFR 578.33\(f\)](#) (APRs); [24 CFR 578.109\(b\)](#) (requiring all HUD-required reports to be submitted no later than 90 days from the project grant term's end date). See [24 CFR 578.107\(a\)](#) (noting HUD performance reviews and the info on which HUD will rely to conduct them)

INTERNAL AUDITING FOR COMPLIANCE WITH COC PROGRAM AND HUD REQUIREMENTS

COORDINATED ENTRY/ WRITTEN STANDARDS FOR PROVIDING COC ASSISTANCE

- Coordinated Assessment system: describe how agency's programs fit in with CoC's system and policies
- Written standards for providing CoC assistance: comply with the CoC's policies and procedures relevant to agency's program

Requirement Applies To: Recipient

Relevant Citations for Additional Information: [24 CFR 578.7\(a\)\(9\)](#); [24 CFR 578.23\(c\)\(10\)](#); [24 CFR 576.400\(e\)\(3\)\(vi\)](#), [\(e\)\(3\)\(vii\)](#), [\(e\)\(3\)\(viii\)](#), and [\(e\)\(3\)\(ix\)](#); [24 CFR 578.37\(a\)\(1\)\(ii\)\(A\)](#)

Staff & Board

DRUG-FREE WORKPLACE

Requirements include publishing a drug-free workplace policy statement and notifying HUD about an employee's conviction for a criminal drug offense

Requirement Applies To: Recipient, subrecipient

Relevant Citations for Additional Information: [2 CFR parts 182](#) and [2429](#) (applicable via [24 CFR 578.99](#) (citing [24 CFR 5.105\(d\)](#)))

STAFF RULES AND REGULATIONS

CODE OF CONDUCT, CONFLICT OF INTEREST

Written standards of conduct governing the performance of covered persons engaged in the award and administration of contracts, including organizational and personal conflict, and documentation of compliance.

Requirement Applies To: Recipient, subrecipient

Relevant Citations for Additional Information: [24 CFR 578.95](#); [24 CFR 84.42](#) (setting out private nonprofit code of conduct and conflict of interest provisions); [24 CFR 578.103\(a\)\(11\)](#) (requiring documentation of compliance, retention of a copy of personal policy and records supporting exceptions). See [24 CFR 84.84\(c\)](#)

(setting out same requirements within procurement section). See also Project Applicant Profile, Applicant Code of Conduct (requiring Code of Conduct be submitted to HUD or it to be attached in e-snaps).

Housing-Related

HOUSING SELECTION, STANDARDS, AND RELATED

- CoC Program-assisted housing and facility rehabilitation/construction must meet building codes
- Housing quality standards (HQS): physical inspection to assure unit meets HQS before assistance can be provided, and at least annually to ensure unit continues to meet HQS during grant period. See Lead-Based Paint section below.
- Suitable dwelling size
- Meals/meal preparation facilities (supportive housing)
- Reasonable rent

Relevant Citations for Additional Information:

- Building code: [24 CFR 578.75\(a\)](#)
- Housing quality standards: [24 CFR 578.75\(b\)](#), [24 CFR 578.103\(a\)\(8\)](#) (listing documentation of compliance requirements). See also [24 CFR 982.401](#) (setting out housing quality standards, except that [24 CFR 982.401\(j\)](#) applies only to TBRA); [24 CFR part 35](#) (providing lead-based paint requirements).
- Suitable dwelling size: [24 CFR 578.75\(c\)](#)
- Meals/meal preparation facilities: [24 CFR part 578.75\(d\)](#)
- Rent: [24 CFR part 578.49\(b\)\(2\)](#) and [24 CFR part 578.51\(g\)](#)

LEAD-BASED PAINT

Requires disclosure and includes treatment requirements for HUD-funded activities:

- Rehab (abatement of lead-based paint hazards)
- Project-based/sponsor-based assistance (interim controls)
- Leasing/support services/operations/acquisition (paint stabilization)
- Tenant-based rental assistance (paint stabilization)

Relevant Citations for Additional Information: [24 CFR 578.75\(b\)](#) (noting specific activities and relevant sections of [24 CFR part 35](#)); [24 CFR 578.99\(f\)](#) (requiring CoC-funded programs to comply with requirements in 24 CFR part 35, subparts A (disclosure), B (general requirements and definitions), H (project-based assistance), J (rehabilitation), K (acquisition/ leasing/support services/operation), M (tenant-based rental assistance), and R (methods and standards for evaluation and reduction); [24 CFR 578.103\(a\)\(15\)](#) (requiring documentation of compliance)

Non-Discrimination

AFFIRMATIVELY FURTHERING FAIR HOUSING

- Procedures to market housing and supportive services to eligible persons regardless of race, color, national origin, religion, sex, age, familial status, or disability, who are least likely to apply in the absence of special outreach
- Policies and procedures provide meaningful access for Limited English Proficiency persons to the recipient's programs and activities

Requirement Applies To: Recipient

Relevant Citations for Additional Information: [FY 2016 CoC Program NOFA §VII.A.1.f](#). See [24 CFR 578.93\(c\)](#) (describing recipient's affirmative responsibilities) and [24 CFR 578.103\(a\)\(14\)](#) (requiring recipients and subrecipients to document compliance); [FY 2016 CoC Program NOFA, Section VII.A.1.h](#); *Final Guidance to Federal Financial Assistance Recipients: Title VI Prohibition Against National Origin Discrimination Affecting Limited English Proficient Persons (LEP Guidance)* in the Federal Register on January 22, 2007 ([72 FR 2732](#)); HUD's Final Rule on [Equal Access in Accordance With an Individual's Gender Identity in Community Planning and Development Programs](#)

REASONABLE ACCOMMODATION AND ACCESSIBILITY FOR PERSONS WITH DISABILITIES ¹⁷

- HUD [policy] to encourage States and units of general local government to include, in their existing procedures for the review and approval of newly constructed covered multifamily dwellings, determinations as to whether the design and construction of such dwellings are consistent with [24 CFR 100.205](#) (a) and (c) (setting out design and construction requirements for covered, post March 13, 1991 multifamily dwellings)]
- Unlawful for any person to refuse to make reasonable accommodations in rules, policies, practices, or services, when such accommodations may be necessary to afford a handicapped person equal opportunity to use and enjoy a dwelling unit, including public and common use areas. [[24 CFR 100.204\(a\)](#)]
- Adopt and implement procedures to ensure that interested persons (including persons with impaired vision or hearing) can obtain information concerning the existence and location of accessible services, activities, and facilities [[24 CFR 8.6\(b\)](#)]
- Modify its housing policies and practices to ensure that these policies and practices do not discriminate, on the basis of handicap, against a qualified individual with handicaps [[24 CFR 8.33](#)]
- If a recipient publishes or uses recruitment materials or publications containing general information, it shall include in those materials or publications a statement of the policy described in [24 CFR 8.54](#).
- Public entity shall make reasonable modifications in policies, practices, or procedures when the modifications are necessary to avoid discrimination on the basis of disability, unless the public entity can demonstrate that making the modifications would fundamentally alter the nature of the service, program, or activity. [[28 CFR 35.130\(b\)\(7\)](#)]
- Public accommodation shall make reasonable modifications in policies, practices, or procedures, when the modifications are necessary to afford goods, services, facilities, privileges, advantages, or accommodations to individuals with disabilities, unless the public accommodation can demonstrate

¹⁷ HomeBase note: there is overlap between the policies below and those related to nondiscrimination and equal opportunity.

- that making the modifications would fundamentally alter the nature of the goods, services, facilities, privileges, advantages, or accommodations [[28 CFR 36.302](#)]
- Public entities and accommodations shall modify policies, practices, or procedures to permit the use of a service animal by an individual with a disability. [[28 CFR 35.136\(a\)](#); [28 CFR 36.302\(c\)](#)]
 - Public entities and accommodations shall make reasonable modifications in its policies, practices, or procedures to permit the use of other power-driven mobility devices by individuals with mobility disabilities, unless the public accommodation can demonstrate that the class of other power-driven mobility devices cannot be operated in accordance with legitimate safety requirements that the public accommodation has adopted pursuant to § 36.301(b) [[28 CFR 35.137\(b\)\(1\)](#); [28 CFR 36.311\(b\)\(1\)](#)]
 - Grievance procedures with specifically applicable requirements are required for a public entity that employs 50 or more persons [[28 CFR 35.107\(b\)](#)] and a recipient that employs 15 or more persons [[24 CFR 8.53\(b\)](#)]

Requirement Applies To: Recipient, subrecipient

Relevant Citations for Additional Information: [24 CFR 578.93\(d\)](#); and accessibility requirements of 24 CFR part 100 (see e.g., [24 CFR 100.201](#), [100.204](#), [100.205](#), [100.400](#), [100.50](#)); [24 CFR part 8](#); [28 CFR parts 35](#) and [36](#). See also [24 CFR 578.103\(a\)\(14\)](#) (requiring recipients and subrecipients to document compliance)

NONDISCRIMINATION AND EQUAL OPPORTUNITY

- Equal access to programs, shelters, buildings and facilities, services, and housing in accordance with an individual's gender identity and in a way that ensures equal access to the individual's family
- Placement and services are provided in accordance with an individual's gender identity
- Individuals are not subjected to intrusive questioning or asked to provide anatomical information or any form of evidence to support their gender identification
- Eligibility determinations are made based on the program's HUD-approved eligibility criteria, without regard to actual or perceived sexual orientation, gender identity, or marital status

Relevant Citations for Additional Information: [24 CFR 578.93](#) (referencing [24 CFR 5.105\(a\)](#)); [24 CFR 578.103\(a\)\(15\)](#); HUD's Final Rule on [Equal Access in Accordance With an Individual's Gender Identity in Community Planning and Development Programs](#). See also [24 CFR parts 100](#), [107](#) (nondiscrimination in HUD- and other Federally-assisted housing)

OUTREACH

Specific outreach procedures in place that are used by the homeless service agencies to identify and engage homeless individuals and families, including their efforts to provide meaningful outreach to persons with disabilities and persons with limited English proficiency.

Requirement Applies To: Recipient, subrecipient

Relevant Citations for Additional Information: [FY 2016 CoC Program NOFA §VII.A.1.f](#). See also *Final Guidance to Federal Financial Assistance Recipients: Title VI Prohibition Against National Origin Discrimination Affecting Limited English Proficient Persons (LEP Guidance)* in the Federal Register on January 22, 2007 ([72 FR 2732](#)); HUD's Final Rule on [Equal Access in Accordance With an Individual's Gender Identity in Community Planning and Development Programs](#).

Program-Participant-Related

CLIENT ELIGIBILITY ¹⁸

- Homeless/at-risk of homelessness status (if applicable) and maintaining relevant records
- Chronic homelessness (where applicable)
- Limitations on serving those homeless under other federal laws (where applicable)
- Eligibility determinations

Relevant Citations for Additional Information: [24 CFR 576.500\(b\)](#) (providing acceptable evidence of homeless status); [24 CFR 576.500\(c\)](#) (providing acceptable evidence of at-risk of homelessness status); [24 CFR 578.103\(a\)\(3\),\(4\), and \(7\)](#) (including homeless and at-risk of homelessness status within recordkeeping requirements, and requiring such records for each program participant). [24 CFR 578.89](#) (listing requirements for using CoC Program grant funds to serve homeless under other federal laws, noting that this requires an application to HUD and HUD approval, and providing a 10% cap on use of funds in this manner unless an exception applies); HUD's Final Rule [Homeless Emergency Assistance and Rapid Transition to Housing: Defining "Chronically Homeless"](#). See also 2012 also [FY 2016 CoC Program NOFA, Section V.G.2.d\(2\)\(g\)](#) (including history of serving ineligible persons as one of the reasons for which HUD may reject or reduce project applicant's renewal funding requests).

CONFIDENTIALITY

Develop and implement written procedures to ensure the security and confidentiality of all records containing personally identifying information of any individual or family who applies for and/or receives CoC assistance. These are in addition to HMIS-related confidentiality and security requirements, and ensure specific protections.

Requirement Applies To: Recipient, subrecipient


Relevant Citations for Additional Information: [24 CFR 578.103\(b\)](#)

DOMESTIC-VIOLENCE RELATED

Relevant Citations for Additional Information:

- Client eligibility: [24 CFR 578.3](#) (providing homeless definition and including DV-specific language; and detailing victim service provider definition)
- [24 CFR 578.7\(a\)\(8\)](#): specific policy to guide the operation of the centralized or coordinated assessment system on how its system will address the needs of individuals and families who are fleeing, or attempting to flee, domestic violence, dating violence, sexual assault, or stalking, but who are seeking shelter or services from non-victim service providers. This system must comply with any requirements established by HUD by Notice.
- [24 CFR 578.51\(c\)\(3\)](#) (providing DV victims who are TBRA recipients under documented imminent threat with ability to retain assistance and move to another CoC); [24 CFR 578.103\(a\)\(5\)](#) (providing recipient/subrecipient document retention requirements for program participants receiving TBRA who

¹⁸ HomeBase recommends that this be integrated into financial management policies and procedures as well since CoC Program funds can only be used for eligible clients.

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- have moved to a different CoC in response to imminent threat of further DV/dating violent/sexual assault/stalking)
- [24 CFR 578.53\(c\)](#) (noting that supportive service eligible costs related to DV victims are still eligible to same extent otherwise eligible); [24 CFR 578.53\(e\)\(3\)\(vii\), \(9\)\(i\), \(10\)](#) (listing DV-related case management, legal services, and life skills training as eligible supportive service costs)
 - Fair Housing: [24 CFR 578.93\(b\)\(2\) and \(7\)](#) (stating that DV-focused housing complies)

RECORDKEEPING/DOCUMENTATION RE: PROGRAM PARTICIPANT RECORDS

Relevant Citations for Additional Information: [24 CFR 578.103](#)

CHARGING CLIENTS AND TENANTS: ANNUAL INCOME, OCCUPANCY CHARGES/RESIDENT RENT, PROGRAM FEES

Relevant Citations for Additional Information: [24 CFR 578.77\(b\)-\(c\)](#) (rent calculation), [24 CFR 578.103\(a\)\(6\)](#) (listing recordkeeping/documentation requirements).

[24 CFR 578.97](#) (noting that rents and occupancy charges are program income, so are subject to requirements directing recipient to add them to HUD funds committed to the project and use them for eligible activities in accordance with CoC Program Interim Rule requirements). [24 CFR 578.87\(d\)](#) (prohibiting charging program participants program fees). *See also* [24 CFR 578.7\(a\)\(9\)\(iv\)](#) (including RRH rent calculation standards as one of minimum parts of CoC requirement to establish and consistently follow standards for providing CoC assistance)

MAINSTREAM BENEFITS

Follow-up procedures to ensure mainstream benefits are received

Requirement Applies To: Recipient, subrecipient

Relevant Citations for Additional Information: [FY 2016 CoC Program NOFA VII.A.1.k](#)

EDUCATIONAL AND RELATED SERVICES

Establish policies and practices that are consistent with, and do not restrict, the exercise of rights provided by subtitle B of title VII of the Act and other laws relating to the provision of educational and related services to individuals and families experiencing homelessness

Requirement Applies To: Subrecipient

Relevant Citations for Additional Information: [24 CFR 578.23\(c\)\(4\)\(iii\)](#). *See also* [24 CFR 578.23\(c\)\(7\)](#) (setting out recipient's related requirement)

SERVICES PROVIDED, INCLUDING RESIDENTIAL SUPERVISION

Relevant Citations for Additional Information: [24 CFR 578.103\(a\)\(7\)\(i\)](#) (requiring related documentation in program participant records; [24 CFR 578.103\(a\)\(9\)](#) (requiring documentation of program services provided, amounts spent on the services, frequency of reviews, and related adjustment of service packages); [24 CFR 578.75\(h\)](#) (permitting required program participation in non-disability-related services as a condition of program participation; listing disability-related service examples and an exception if the project purpose is to provide substance abuse treatment); [24 CFR 578.75\(f\)](#) (requirement to provide residential supervision as necessary to facilitate adequate service provision throughout term of commitment to provide supportive housing)

PARTICIPATION OF HOMELESS INDIVIDUALS

- *Board/policymaking entity*: not less than 1 homeless/formerly homeless individual, unless waiver and HUD approval
- *Day-to-day operations*: involve homeless individuals and families in employment, volunteer services, or otherwise in construction, rehabilitation, maintaining and operating project, and providing project supportive services to maximum extent practicable

Document compliance

Relevant Citations for Additional Information: [24 CFR 578.75\(g\)](#) (stating requirements for participation of homeless individuals), [24 CFR 578.103\(a\)\(12\)](#) (listing requirement to document compliance). *See also* [24 CFR 578.23\(c\)\(3\)](#) (mirroring the language of [24 CFR 578.75\(g\)\(2\)](#) requiring participation of homeless individuals and families in day-to-day operations, and requiring this as part of the recipient's grant agreement); [24 CFR part 135](#) (detailing Section 3 of the Housing and Urban Development Act requirements that relate to the participation of homeless individuals in day-to-day operations)

PROGRAM RULES AND REGULATIONS FOR PARTICIPANTS AND CLIENTS

Relevant Citations for Additional Information: *See also* [24 CFR 578.91\(b\)\(1\)](#).

TERMINATION OF ASSISTANCE TO PROGRAM PARTICIPANTS

Formal process that recognizes the rights of individuals receiving assistance to due process of law

Requirement Applies To: Recipient, subrecipient

Relevant Citations for Additional Information: [24 CFR 578.91](#). *See also* [24 CFR 578.103\(a\)\(7\)\(ii\)](#) (requiring documentation of compliance to be kept in relevant program participant records)

Required Policies/Procedures for Specific Projects

RESOLVING LANDLORD-TENANT DISPUTES


Written policy for resolving disputes (applicable if leasing funds are used to lease units/structures owned by related entity and applying for exception)

Requirement Applies To: Recipient, subrecipient

Relevant Citations for Additional Information: [24 CFR 578.49\(a\)\(2\)\(iii\)](#)

EMPLOYING AND DIRECTING ECONOMIC OPPORTUNITIES TO LOW- AND VERY-LOW INCOME PEOPLE (SECTION 3 OF THE HOUSING AND URBAN DEVELOPMENT ACT) (REHABILITATION AND CONSTRUCTION ONLY)

Responsibility to comply with Section 3 in its own operations, and ensure compliance in the operations of its contractors and subcontractors. Includes these, but is not limited to them:

- 
- Implementing procedures designed to notify Section 3 residents about training and employment opportunities generated by Section 3 covered assistance and Section 3 business concerns about contracting opportunities generated by Section 3 covered assistance
 - Documenting actions taken to comply with the requirements of this part, the results of any actions taken and impediments
 - Notification, contracting, and other requirements

Requirement Applies To: Recipient, subrecipient

Relevant Citations for Additional Information: [24 CFR 578.99\(9\)](#); [24 CFR part 135](#)