Summit County Continuum of Care (SCCoC) Governance Charter



# Contents

[Contents 2](#_Toc61958773)

[Change Log 5](#_Toc61958774)

[Introduction 6](#_Toc61958775)

[Summit County Continuum of Care (SCCoC) Overview 6](#_Toc61958776)

[Purpose of the Governance Charter 6](#_Toc61958777)

[Making Amendments to the Governance Charter 6](#_Toc61958778)

[Annual Document Review 6](#_Toc61958779)

[Review Process 6](#_Toc61958780)

[SCCoC Operations 7](#_Toc61958781)

[Responsibilities 7](#_Toc61958782)

[Record-keeping 8](#_Toc61958783)

[Standing Committees and Workgroups 8](#_Toc61958784)

[Committee and Workgroup Formation & Composition 8](#_Toc61958785)

[Committee Leadership 9](#_Toc61958786)

[Other Committee Roles & Responsibilities 9](#_Toc61958787)

[On Committees setting their own policies and procedures 9](#_Toc61958788)

[Participation 9](#_Toc61958789)

[Hierarchy of Communication 9](#_Toc61958790)

[SCCoC Policies 10](#_Toc61958791)

[Conflict of Interest, Recusal, and Other Ethical Matters 10](#_Toc61958792)

[Purpose 10](#_Toc61958793)

[Definitions 10](#_Toc61958794)

[Procedures 10](#_Toc61958795)

[Records of Proceedings 11](#_Toc61958796)

[Compensation 12](#_Toc61958797)

[Annual Statements 12](#_Toc61958798)

[Periodic Reviews 12](#_Toc61958799)

[Use of Outside Experts 12](#_Toc61958800)

[Confidentiality Policy for Employees, Volunteers, and Board Members 14](#_Toc61958801)

[Reallocation Policy 15](#_Toc61958802)

[Definition 15](#_Toc61958803)

[Process Overview 15](#_Toc61958804)

[Types of Reallocation 15](#_Toc61958805)

[Voluntary Reallocation 15](#_Toc61958806)

[Timeline and Responsible Parties 16](#_Toc61958807)

[Timeline of Reallocation 16](#_Toc61958808)

[Scoring and Ranking 16](#_Toc61958809)

[When a Project Can Reallocate 16](#_Toc61958810)

[Performance-Based Reallocation 17](#_Toc61958811)

[APR Policy 17](#_Toc61958812)

[Impartiality 18](#_Toc61958813)

[Disciplinary Action 18](#_Toc61958814)

[NonDiscrimination 18](#_Toc61958815)

[HMIS Design and Operations 20](#_Toc61958816)

[Homeless Management Information System (HMIS) 20](#_Toc61958817)

[HMIS Lead 20](#_Toc61958818)

[HMIS Lead Responsibilities 20](#_Toc61958819)

[The HMIS User Group 21](#_Toc61958820)

[Applying for SCCoC Membership/Funding 22](#_Toc61958821)

[Collaborative Applicant 22](#_Toc61958822)

[Collaborative Applicant Responsibilities 22](#_Toc61958823)

[Monitoring Guide 24](#_Toc61958824)

[Purpose 24](#_Toc61958825)

[Risk Assessment 24](#_Toc61958826)

[Risk Analysis 25](#_Toc61958827)

[Risk Criteria 25](#_Toc61958828)

[Data Sources 26](#_Toc61958829)

[Data Validation 26](#_Toc61958830)

[Procedure 26](#_Toc61958831)

[Monitoring Visit 26](#_Toc61958832)

[Monitoring Conclusions 27](#_Toc61958833)

[Sanctions 27](#_Toc61958834)

[The Monitoring Letter 28](#_Toc61958835)

[Documentation 28](#_Toc61958836)

[Risk Assessment 28](#_Toc61958837)

[Monitoring Tools & Other Documentation 28](#_Toc61958838)

[Monitoring Letter 29](#_Toc61958839)

[Follow-Up 29](#_Toc61958840)

[HMIS 29](#_Toc61958841)

[Quality Assurance 29](#_Toc61958842)

[Glossary and Terms 30](#_Toc61958843)

[Acronyms 30](#_Toc61958844)

[Definitions 31](#_Toc61958845)

[At risk of homelessness 31](#_Toc61958846)

[SCCoC Board (the Board) 32](#_Toc61958847)

[Chronically homeless 32](#_Toc61958848)

[CoC Program 32](#_Toc61958849)

[CoC Program Grantee (Recipient) 33](#_Toc61958850)

[Code of Federal Regulations (CFR) 33](#_Toc61958851)

[Collaborative applicant 33](#_Toc61958852)

[Committees & Workgroups 33](#_Toc61958853)

[Consolidated plan 33](#_Toc61958854)

[The Continuum (Continuum of Care) 33](#_Toc61958855)

[SCCoC Member 34](#_Toc61958856)

[Eligible applicant 34](#_Toc61958857)

[Emergency Shelter 34](#_Toc61958858)

[Emergency Solutions Grants (ESG) 34](#_Toc61958859)

[High-Performing Community (HPC) 34](#_Toc61958860)

[Homeless 35](#_Toc61958861)

[Homelessness prevention 36](#_Toc61958862)

[Permanent housing 37](#_Toc61958863)

[Permanent supportive housing 37](#_Toc61958864)

[Point-in-time count 37](#_Toc61958865)

[Private nonprofit organization 37](#_Toc61958866)

[Program participant 37](#_Toc61958867)

[Project 37](#_Toc61958868)

[Rapid Re-Housing 37](#_Toc61958869)

[Recipient 38](#_Toc61958870)

[Relevant organizations 38](#_Toc61958871)

[Safe haven 38](#_Toc61958872)

[SCCoC staff 38](#_Toc61958873)

APPENDIX 1: Centralized Intake Policies and Procedures

APPENDIX 2: HMIS Policies and Procedures

# Change Log

# Introduction

## Summit County Continuum of Care (SCCoC) Overview

The Summit County Continuum of Care (SCCoC) is a collaborative body consisting of formerly homeless individuals, advocates, government agencies, and organizations that serve homeless households. Under the direction of a Board of Directors, its function is to carry out the responsibilities required by the Department of Housing and Urban Development (HUD) Continuum of Care (CoC) program.

The SCCoC Board, comprised of elected and appointed positions, governs the SCCoC in its various functions and ensures adherence to the Continuum’s mission as well as relevant policies, procedures, laws, and regulations. The Board has the authority to establish committees and workgroups which are responsible for specific activities.

## Purpose of the Governance Charter

This Governance Charter serves two (2) essential functions:

1. It establishes policies and procedures related to the SCCoC; and,
2. It establishes the processes for SCCoC funding, both for projects applying to the SCCoC and for the SCCoC’s application to HUD.

## Making Amendments to the Governance Charter

The Board will have the power to adopt, amend, or repeal the provisions of these Governance standards upon recommendation and by a 2/3 vote of the voting members where such proposed action has been described in the notice of the meeting and SCCoC members have been provided with a review and comment period prior to the Board vote.

## Annual Document Review

The SCCoC Board will review this Charter and the SCCoC Strategic Plan annually, in collaboration with the Collaborative Applicant and HMIS Lead, to ensure they remain consistent with HUD’s CoC Program requirements as well as the SCCoC objectives and responsibilities.

## Review Process

Members should report any violation of this Charter to the Chair, or other member of the Executive Committee. The Board will investigate any such report, and take appropriate corrective action, if warranted. Retaliation against a member who reports violations of such conduct in good faith will not be tolerated. If a member has any questions about the ethics of a situation, the member is encouraged to consult with the Chair. Efforts will be made to keep issues confidential to the greatest possible extent.

# SCCoC Operations

## Responsibilities

HUD requirements and responsibilities of the SCCoC may be delegated to the Board or appointed entities and may include:

1. Coordinate implementation of a housing and service system, including but not limited to, the establishment and operation of a centralized or coordinated assessment system, in consultation with ESG funded recipients;
2. Review, update, and implement the priorities of the SCCoC;
3. Consult with recipients to establish performance goals appropriate for population and program type, monitor recipient’s performance, evaluate outcomes, and take action against poor performers;
4. Establish and follow written standards for providing SCCoC assistance in consultation with ESG funded recipients;
5. Designate an HMIS Lead and review, revise, and approve a privacy plan, security plan, and data quality plan for HMIS, ensure consistent participation of nonexempt recipients in HMIS, and ensure that HMIS is administered in compliance with HUD requirements;
6. Design, operate, and follow a collaborative, fair, and transparent process for developing applications and approving submission of applications in response to a CoC Program NOFA;
7. Coordinate communication within the SCCoC;
8. Staff the SCCoC, the Board, and provide support;
9. Convene and facilitate the work of the SCCoC Board, its committees and workgroups, and the appointed entities;
10. Provide meeting support for the SCCoC and Board and all other committee meetings by scheduling meetings, developing agendas, issuing meeting materials and posting all relevant documents to website;
11. Assist in developing the agendas for the Board meetings and identify priority topics for discussion;
12. Vet materials to ensure they are understandable and emphasize areas where decisions are most needed, and respond to any requests or directions from the Board;
13. Monitor strategic coherence across efforts;
14. Manage collective data systems and information distribution;
15. Mobilize planning efforts and planning review and revision;
16. Steward resources for collective impact as appropriate;
17. Train, orient, and onboard new Board members;
18. Distribute information electronically or through mail to all SCCoC members including the Board;
19. Ensure the occurrence of semi-annual meetings of the SCCoC with published agendas (HEARTH requirement);

20) Retain overall responsibility for ensuring the Board, and through the Board,

Committees and Appointed Entities, carry out all designated responsibilities; and,

Funding and funded beds belong to the SCCoC and therefore the SCCoC will protect the funding by ensuring the following standards are observed:

1. All SCCoC-funded projects will take referrals solely from Centralized Intake;
2. All SCCoC-funded projects will be ranked and reviewed by a review committee; and,
3. All SCCoC-funded agencies will adhere to SCCoC policies and procedures.

## Record-keeping

Proceedings of all SCCoC Board and committee meetings will be documented in minutes. Minutes of meetings are circulated to members of the relevant body and approved at the subsequent meeting. Committees are responsible for selecting a Secretary, recording their own minutes, and providing sign in sheets to the SCCoC staff.

## Standing Committees and Workgroups

The SCCoC will have a minimum of six (6) standing committees:

1. Executive Committee
2. Finance Committee
3. HMIS Advisory Committee
4. Personnel Committee
5. Ranking & Review Committee
6. Steering Committee

The SCCoC will also include the following workgroups, which may be established and must be renewed at the discretion of the Board, and must adhere to all policies and procedures for committees and workgroups:

1. Chronically Homeless Workgroup;
2. Rapid-Rehousing (RRH) Workgroup;
3. Point in Time (PIT) Workgroup;
4. Veterans By-Name List Workgroup (Responsible for implementing the goal to prevent and end Veterans homelessness);
5. Youth Summit-Up Workgroup (Responsible for implementing the goal to prevent and end youth homelessness); and,
6. Any other Ad Hoc Workgroups

## Committee and Workgroup Formation & Composition

The committees and workgroups of the SCCoC are the action and planning components of the system. In these bodies, strategies are developed, deepened, and expanded into actionable work plans. These groups may also be directly responsible for specific initiatives or for exploring options to solve particular concerns.

Standing committees are designated in this Charter. The Board may form and give specific responsibilities to additional committees and workgroups. All committee responsibilities apply to these workgroups as well. With the exception of the Executive Committee, that is comprised only of Board members, committee membership may include any SCCoC member, but only be chaired by a Board member.

## Committee Leadership

A chair, or co-chairs, as selected from within the Board of Directors, will coordinate each committee.

## Other Committee Roles & Responsibilities

Each committee will be responsible for:

1. Recruiting its members;
2. Establishing its policies and procedures, consistent with the Charter, and providing them to the Board and SCCoC staff;
3. Recording its minutes and attendance, and providing them to the SCCoC staff; and,
4. Ensuring transparency of its processes and meetings

## On Committees setting their own policies and procedures

Committees will establish their own policies and procedures, consistent with this Charter, and provide them to the SCCoC Board for annual review and approval.

## Participation

SCCoC members are encouraged to actively participate in committees and workgroups to improve system performance and make decisions as designated in Section III, in areas, including but not limited to:

1. Strategic plans
2. Local performance measures

## Hierarchy of Communication

To ensure consistency and clarity of communications is achieved, appropriate steps must be taken for communication between the SCCoC, HUD, and the partner agencies. The SCCoC Executive Director will be copied on all communications to HUD regarding their SCCoC-funded projects. Questions and concerns regarding SCCoC policies and procedures will be directed to the SCCoC Executive Director. Concerns regarding the SCCoC Executive Director will be directed to the SCCoC Board of Directors C/O the Board Chair. Decisions made by the SCCoC Board will be final. The HUD field office may be contacted directly where concerns exist related to fraud, abuse, or neglect by the SCCoC Board itself.

## SCCoC Policies

This set of policies applies to SCCoC members, Board members, committee and workgroup members, appointed entity staff, and all other parties performing work on behalf of the SCCoC.

## Conflict of Interest, Recusal, and Other Ethical Matters

Purpose
The purpose of the conflict of interest policy is to protect this tax-exempt organization’s (Summit County Continuum of Care (SCCoC)) interest when it is contemplating entering into a transaction or arrangement that might benefit the private interest of any director, principal officer, or member of the SCCoC or might result in a possible excess benefit transaction. This policy is intended to supplement, but not replace, any applicable state and federal laws governing conflict of interests applicable to nonprofit and charitable organizations.

## Definitions

1. *Interested Person*
Any director, principal officer, or member of a committee with governing board delegated powers, who has a direct or indirect financial interest, as defined below.
2. *Financial Interest*
A person has a financial interest if the person has, directly or indirectly, through business, investment, or family:
3. An ownership or investment interest in any entity with which the SCCoC has a transaction or arrangement,
4. A compensation arrangement with the SCCoC or with any entity or individual with which the SCCoC has a transaction or arrangement, or
5. A potential ownership or investment interest in, or compensation arrangement with, any entity or individual with which the SCCoC is negotiating a transaction or arrangement.

Compensation includes direct and indirect remuneration as well as gifts or favors that are not insubstantial.

A financial interest is not necessarily a conflict of interest. Under Procedures, Section 2, a person who has a financial interest may have a conflict of interest only if the appropriate governing board or committee decides that a conflict of interest exists.

## Procedures

1. *Duty to Disclose*
In connection with any actual or possible conflict of interest, an interested person must disclose the existence of the financial interest and be given the opportunity to disclose all material facts to the directors and members of committees with governing board delegated powers considering the proposed transaction or arrangement.
2. *Determining Whether a Conflict of Interest Exists*
After disclosure of the financial interest and all material facts, and after any discussion with the interested person, he/she shall leave the governing board or committee meeting while the determination of a conflict of interest is discussed and voted upon. The remaining board or committee members shall decide if a conflict of interest exists.
3. *Procedures for Addressing the Conflict of Interest*
4. An interested person may make a presentation at the governing board or committee meeting, but after the presentation, he/she shall leave the meeting during the discussion of, and the vote on, the transaction or arrangement involving the possible conflict of interest
5. The chairperson of the governing board or committee shall, if appropriate, appoint a disinterested person or committee to investigate alternatives to the proposed transaction or arrangement.
6. After exercising due diligence, the governing board or committee shall determine whether the SCCoC can obtain, with reasonable efforts, a more advantageous transaction or arrangement from a person or entity that would not give rise to a conflict of interest.
7. If a more advantageous transaction or arrangement is not reasonably possible under circumstances not producing a conflict of interest, the governing board or committee shall determine by a majority vote of the disinterested directors whether the transaction or arrangement is in the SCCoC's best interest, for its own benefit, and whether it is fair and reasonable. In conformity with the above determination, it shall make its decision as to whether to enter into the transaction or arrangement.

 4) *Violations of the Conflict of Interest Policy*

1. If the governing board or committee has reasonable cause to believe a member has failed to disclose actual or possible conflicts of interest, it shall inform the member of the basis for such belief and afford the member an opportunity to explain the alleged failure to disclose.
2. If, after hearing the member's response and after making further investigation as warranted by the circumstances, the governing board or committee determines the member has failed to disclose an actual or possible conflict of interest, it shall take appropriate disciplinary and corrective action.

## Records of Proceedings

The minutes of the governing board and all committees with board delegated powers shall contain:

1. The names of the persons who disclosed or otherwise were found to have a financial interest in connection with an actual or possible conflict of interest, the nature of the financial interest, any action taken to determine whether a conflict of interest was present, and the governing board’s or committee's decision as to whether a conflict of interest in fact existed.
2. The names of the persons who were present for discussions and votes relating to the transaction or arrangement, the content of the discussion, including any alternatives to the proposed transaction or arrangement, and a record of any votes taken in connection with the proceedings.

## Compensation

1. A voting member of the governing board who receives compensation, directly or indirectly, from the SCCoC for services is precluded from voting on matters pertaining to that member's compensation.
2. A voting member of any committee whose jurisdiction includes compensation matters and who receives compensation, directly or indirectly, from the SCCoC for services is precluded from voting on matters pertaining to that member's compensation.
3. No voting member of the governing board or any committee whose jurisdiction includes compensation matters and who receives compensation, directly or indirectly, from the SCCoC, either individually or collectively, is prohibited from providing information to any committee regarding compensation.

## Annual Statements

Each director, principal officer, and member of a committee with governing board delegated powers shall annually sign a statement which affirms such person:

1. Has received a copy of the conflict of interest policy;
2. Has read and understands the policy;
3. Has agreed to comply with the policy; and,
4. Understands the SCCoC is charitable and in order to maintain its federal tax exemption it must engage primarily in activities which accomplish one or more of its tax-exempt purposes.

## Periodic Reviews

To ensure the SCCoC operates in a manner consistent with charitable purposes and does not engage in activities that could jeopardize its tax-exempt status, periodic reviews shall be conducted. The periodic reviews shall, at a minimum, include the following subjects:

1. Whether compensation arrangements and benefits are reasonable, based on competent survey information, and the result of arm's length bargaining;
2. Whether partnerships, joint ventures, and arrangements with SCCoC’s management conform to the SCCoC's written policies:
3. Above policies are properly recorded;
4. Reflect reasonable investment or payments for goods and services; and,
5. Ensure further charitable purposes and do not result in inurement, impermissible private benefit or in an excess benefit transaction.

## Use of Outside Experts

When conducting the periodic reviews, the SCCoC may, but need not, use outside advisors. If outside experts are used, their use shall not relieve the governing board of its responsibility for ensuring periodic reviews are conducted.

*Ethics Code*

All Members are required to comply with the Summit County Ethics Code and applicable federal regulations. Summary provisions below should be interpreted consistently with these laws.

1. No Member of the SCCoC may participate in, or influence discussions or resulting decisions, concerning the award of a grant or other financial benefits to the organization that the member represents.
2. No Member who is an employee, agent, consultant, officer, or elected or appointed official of a recipient of federal, state, or local grant funds and who exercises or has exercised any functions or responsibilities with respect to activities under those grant funds, or who is in a position to participate in a decision-making process or gain inside information with regard to those grant funds, may obtain a financial interest or benefit from a SCCoC activity, have a financial interest in any contract, subcontract, or agreement with respect to a SCCoC activity, or have a financial interest in the proceeds derived from a SCCoC activity, either for him or herself or for those with whom he or she has immediate family or business ties, during his or her tenure or during the one-year period following his or her tenure.
3. Members will not discriminate against any person or group on the basis of race, color, religion, national origin, ancestry, sex, age, physical or mental disability, sexual orientation, gender identity, gender expression, marital status, or any other federal, state, or local protected group.
4. Members will recuse themselves from any matter in which they may have a conflict of interest. Recusal includes abstention from voting and participation in discussions on the matter.
5. Members of the SCCoC will disclose potential conflicts of interest that they may have regarding any matters that come before it in full session, Board, or committee. All Members will read the Conflict of Interest Policy and sign the Conflict of Interest statement annually.

## Confidentiality Policy for Employees, Volunteers, and Board Members

Respecting the privacy of our clients, donors, members, staff, volunteers, and of SCCoC itself is a basic value of the SCCoC. Personal and financial information is confidential and should not be disclosed or discussed with anyone without permission or authorization from the SCCoC Executive Director. Care shall also be taken to ensure that unauthorized individuals do not overhear any discussion of confidential information and that documents containing confidential information are not left in the open or inadvertently shared.

Employees, volunteers, and board members of SCCoC may be exposed to information which is confidential and/or privileged and proprietary in nature. It is the policy of the SCCoC that such information must be kept confidential both during and after employment or volunteer service. Staff and volunteers, including board members, are expected to return materials containing privileged or confidential information at the time of separation from employment or expiration of service.

Unauthorized disclosure of confidential or privileged information is a serious violation of this policy and will subject the person(s) who made the unauthorized disclosure to appropriate discipline, including removal/dismissal.

In addition to meeting the specific confidentiality of SCCoC, each member must also adhere to the same standards for HMIS. Each member agency must develop and implement written procedures to ensure:

1. All records containing protected identifying information of any individual or family who applies for and/or receives SCCoC assistance will be kept secure and confidential;
2. The address or location of any family violence project assisted with SCCoC funds will not be made public, except with written authorization of the person responsible for the operation of the project; and,
3. The address or location of any housing of a program participant will not be made public, except as provided under a preexisting privacy policy of the SCCoC Member and consistent with State and local laws regarding privacy and obligations of confidentiality.

## Reallocation Policy

## Definition

Reallocation; per Section III.C.3 (q) of the FY 2018 CoC Program NOFA: Reallocation is when a CoC shifts funds in whole or part from existing eligible renewal projects to create one or more new projects without decreasing the CoC’s Annual Renewal Demand (ARD). New Projects created through reallocation must meet the requirements set forth in the annual CoC Notice of Funding Availability (NOFA) and project eligibility and project quality thresholds established by HUD at a minimum. Each year HUD determines eligible reallocation project types in the CoC NOFA. Involuntary reallocation of funds should be considered only when projects are determined to be underperforming, obsolete, or do not contribute substantially to meeting the goals of the CoC for preventing and/or reducing homelessness.

## Process Overview

The process used in determining reallocation of funds should be structured in such a way that mitigates perceptions of reallocation as a threat or in a way that removes barriers to a provider thinking critically about the performance of a project. In some cases, projects in which CoC funding is reallocated may be eligible for another source of funding which might be more appropriate than HUD CoC funding.

Decisions to reallocate funds shall be evidence-based. Each CoC funded project will be evaluated annually using the ranking and review criteria. Reallocation action will be taken with the goal of alignment with the HUD and HEARTH ACT policy guidance, performance criteria specified in the annual HUD NOFA with emphasis on local needs, data, and project performance. Consideration will also be given to the potential impact that involuntary (performance-based) reallocation may have on increasing homelessness resulting from a reduction in services caused by the reallocation. The SCCoC intends to make data driven decisions that align with HUD’s goals and priorities for CoC funding and align with the Federal Strategic Plan to Prevent and End Homelessness.

## Types of Reallocation

Projects may be allocated in the following ways:

1. Funding (in whole or part) from one project into a new project by the same provider
2. Funding (in whole or part) from one project into a new project by a different provider
3. Funding (in whole or part) from one project into many new projects
4. Funding (in whole or part) from multiple projects into one new project
5. Funding (in whole or part) from multiple projects into many new projects

## Voluntary Reallocation

If an agency has determined that a project could better serve the community with changes made through reallocation, they may voluntarily submit the project for reallocation. If a provider elects to voluntarily reallocate a project, the provider shall notify the SCCoC Executive Director of their intent prior to the release of the local application. The provider has the option to submit an application for a new project utilizing the reallocated funds, which in some cases may receive priority over other new projects, or they may opt not to apply which will make the funds available to all other new applicants. The reallocated project will submit as a new project and must meet deadlines established locally for new project applications. The new project must meet HUD thresholds and be in alignment with the current NOFA. The new project cannot be a continuation of an old project.

## Timeline and Responsible Parties

The annual monitoring and evaluation process will begin following the submission of the previous year’s CoC Program Application. Within this process, HUD CoC Funded agencies, the Ranking & Review Committee, and other interested parties will meet to discuss possible changes to HUD CoC Funded projects.

## Timeline of Reallocation

All funded agencies that wish to reallocate funding must present that to the SCCoC by March 1st. All SCCoC members who wish to apply for new projects must do so when the SCCoC announces they are accepting new project applications. No project applications will be accepted after the closing date.

## Scoring and Ranking

The provider will be able to apply through reallocation for their reallocated funds without those funds being included in the available funding to all new applications. Providing minimum thresholds and NOFA requirements are met, the project will be scored and ranked against other projects in the project priority listing submitted to HUD. The Ranking & Review Committee will review all applications and decide how the new projects will be ranked, in consultation with the SCCoC Executive Director.

## When a Project Can Reallocate

Projects should consider if the changes they wish to make would best be accomplished through requesting a grant amendment. Examples of situations that would best be handled through a grant amendment versus reallocation follow:

|  |  |
| --- | --- |
|  **Grant Amendment**  |  **Reallocation**  |
| 1. A permanent supportive housing program wishes to shift funds within its existing grant from service costs to rental assistance costs in order to create additional units.
 | 1. Component changes, such as transitional housing that wants to change to permanent supportive housing.
 |
| 1. If a transitional housing project wants to reduce the average length of time households are in their programs, they can do so without reallocating.
 | 1. Major population changes, such as if a project wanted to change from serving families with children to serving individuals experiencing chronic homelessness.
 |

## Performance-Based Reallocation

Renewal projects scoring low, not serving an identified community need, found to not meet minimum benchmark scores on performance measures (as determined by the community), not utilizing funding effectively, or not meeting HUD thresholds and compliance requirements may be considered eligible for reallocation. As part of the CoC Program Competition, new project applications will be sought from interested, eligible providers. The renewal projects will be rated and compared to new project applications. New project applications may be submitted by the same provider as the project eligible for reallocation as well as any new applicant. New project applications must align with the eligibility requirements published in the HUD Notice of Funding Availability (NOFA) during that funding cycle.

## APR Policy

Annual Progress Reports

1. APRs are required to be turned to the SCCoC sixty (60) days from the close of your grant date. In the event that your “SAGE” completed version is not available within the sixty (60) day time period, the “HMIS” version is an acceptable temporary substitute. Financial discrepancies between the two formats are expected and understood. (For example: The grant closes on April 30th. The APR must be submitted to the SCCoC by June 30th. The APR must be submitted to HUD by July 30th.)
2. The final “SAGE” version must be submitted to the SCCoC within seven (7) days of the date sent to HUD, and no later than your 90 DAY deadline. If you copy SCCoC Staff on the HUD email, it’s one less step for you to do.
3. All APRs must be submitted to the SCCoC in PDF format.
4. Any subsequent revisions sent to HUD must also be sent to the SCCoC on the same day of submission to HUD.
5. Deadlines for submission of documents will only be extended under extreme circumstances and must be discussed with SCCoC Staff prior to the deadline. (For example: HUD/HMIS/Server issues or updates that inhibit you from entering information on time. Any extensions will be decided by the SCCoC Executive Director.)
6. Failure to meet these above deadlines will result in lowered scores on the review and ranking spreadsheet. (explained in Annual Packet Documents)

## Impartiality

SCCoC member agencies shall:

1. Not discriminate in provision of services;
2. Not knowingly be a party to or condone any illegal or improper activity;
3. Not directly, or indirectly, seek or accept personal gain which would influence, or appear to influence, the conduct of their duties within the SCCoC;
4. Not exploit professional relationships for personal or professional gain;
5. Not use public property or resources for personal gain;
6. Not accept fees, gifts, or other valuable items in the course of performing the duties and responsibilities of their position within the SCCoC, or in connection with such fees, gifts, or other valuable items given them by any person in hope or expectation of receiving a favor or better treatment than accorded other persons within the SCCoC.
7. Be alert to the influences and pressures that interfere with the professional discretion and impartial judgment required for the performance of professional functions related to the SCCoC.

## Disciplinary Action

Appropriate disciplinary action up to and including removal will be taken against individuals found to have violated the policies in this Charter. In addition to disciplinary action, civil and/or criminal penalties may be sought.

## NonDiscrimination

The members, officers, committee members, and contractors of the SCCoC will be selected entirely on a nondiscriminatory basis with respect to race, color, religion, national origin, ancestry, sex, age, physical or mental disability, sexual orientation, gender identity, gender expression, marital status, or other federal, state or locally protected group.

1. Members shall comply with the provisions of all federal, state, and local laws prohibiting discrimination in housing and provision of services on the grounds of race, color, creed, national origin, sex, sexual orientation, gender identity, familial status, age, or physical or mental handicap, including Title VI and VII of the Civil Rights Act of 1964, as amended (Public Law 88-352); and Title VII of the Civil Rights Act of 1968, as amended (Public Law 90-284); and Fair Housing Act (42 U.S.C. §§ 3601-3620).
2. All SCCoC members, including Board members, certify by virtue of their membership that they and their organizations, when applicable, prohibit discrimination on the basis of:
	1. political or religious opinion or affiliation, marital status, race, color, sexual orientation, gender identity, gender expression, creed or national origin, or
	2. sex or age, except when sex or age constitute a bona fide occupational qualification, or
	3. the physical or mental handicap of a qualified handicapped individual.

# HMIS Design and Operations

## Homeless Management Information System (HMIS)

Means the information system designated by the SCCoC to comply with the HMIS requirements prescribed by HUD.

## HMIS Lead

Means the entity designated by the SCCoC in accordance with this part to operate the SCCoC’s HMIS on its behalf. The designation of the HMIS Lead is valid for a maximum of five years before the designation must be reviewed and renewed by the Board. No requirement for a Request for Proposal (RFP) will be made if no other agencies are interested and this step is unnecessary. In response to negligence or poor performance of the HMIS Lead, the SCCoC reserves the right to open an RFP process prior to the five-year mark and designate a new HMIS Lead.

The SCCoC Board will identify and designate a lead agency responsible for HMIS and they will be the only entity eligible to apply for HUD HMIS funding for the SCCoC. The HMIS Lead will ensure all HMIS activities are carried out in accordance with the HEARTH Act.

## HMIS Lead Responsibilities

1. Reinforce SCCoC goals, through HUD contract requirements and HMIS MOU agreements, including but not limited to, ensuring the consistent participation of all recipients of financial assistance under the SCCoC and ESG programs, except those exempt by law, as well as any other funded programs that require HMIS participation (HEARTH requirement);
2. Report on the HEARTH performance measures (including system-wide dashboard, performance by population (families, single adults, youth, etc.), program type (emergency shelter, transitional housing, etc.) and program-level performance on the HEARTH measures) and recommend performance targets consistent with the Strategic Plan and system vision for each program type and subpopulation, in consultation with recipients. (HEARTH requirement);
3. Provide monthly performance measures reports to SCCoC staff to review and implement strategic goals to improve the continuum as a whole;
4. Report to the SCCoC Board on system-level and project-level performance and outcomes quarterly;
5. Develop and consistently maintain HMIS Policies and Procedures document, HMIS Security Plan, Participation Agreement, System User Agreement, System User Confidentiality Acknowledgement, and other HMIS documentation and guidance under the direction of the Data Committee;
6. Provide Data Quality Reports to SCCoC staff and participating agencies;
7. Monitor Data Quality Reports to ensure compliance with HMIS policies both within the database and through site visits to participating agencies;
8. Carry out HMIS security protocols, including coordinating responses to suspected violations of client security and confidentiality policies, and proper disposal of Personally Identifiable Information (PII);
9. Oversee the setup and ongoing administration of the HMIS software and provide training, technical assistance, and support to HMIS users;
10. Ensure compliance with HUD HMIS Data and Technical Standards;
11. Oversee customization of the HMIS database, including the development of custom reports, and interface enhancements;
12. Oversee the collection, analysis, and presentation of HMIS data for reporting to federal, state, and local governments, private entities, clients, and citizens.
13. Write, submit, and administer the HMIS project grant;
14. Integrate and ensure the security of any data with the SCCoC’s participation in any data warehousing;
15. Submit the annual Housing Inventory Chart, Point in Time Count, and HDX Report;
16. Provide an annual community report for community partners and other interested parties;
17. Be responsible for HMIS monitoring of all recipients of the SCCoC and report monitoring results to the Executive Director; and,
18. Provide support and make all efforts to ensure consistent and accurate HMIS participation by all SCCoC HUD and ESG recipients;

## The HMIS User Group

Convened by the HMIS Lead, this group brings together participating agencies’ HMIS lead users to share information and make recommendations. It is a forum for training Site Administrators on changes and new enhancements to HMIS. It is also a forum for sharing best practices and suggesting improvements in policy and procedures. Participating agencies are expected to send at least one person to every HMIS User Group meeting.

# Applying for SCCoC Membership/Funding

## Collaborative Applicant

For the purposes of the annual HUD NOFA application and the management of CoC Program planning grants, the local CoC Board must designate a Collaborative Applicant. The Collaborative Applicant is the only entity that may:

1. Submit the CoC Consolidated Application to HUD.
2. Apply for grants from HUD on behalf of the CoC.
3. Apply for and receive CoC Program planning funds on behalf of the CoC.

The Collaborative Applicant may be designated by the CoC Board with the responsibility to apply for and receive other grants.

## Collaborative Applicant Responsibilities

The Collaborative Applicant is responsible for the following:

1. Collect and combine the required application information from all projects within the geographic area and apply for funding for SCCoC planning activities;
2. Submit provider programs as part of the McKinney-Vento/CoC final application to HUD each year;
3. Coordinate NOFA for housing resources and other funding opportunities;
4. Complete the submission of the HUD SCCoC Application including all relevant charts and tables;
5. Work with the SCCoC to establish written standards for how the different parts of the homeless system should be targeted and consult on how assistance will be provided to different subpopulations, in consultation with recipients of ESG funds (HEARTH requirement);
6. Establish, and consistently follow, written standards for the provision of ESG and SCCoC assistance;
7. Review and approve annual performance standards and evaluate outcomes for programs funded under the ESG and SCCoC programs;
8. As requested, develop policies, procedures, and priorities to be presented to the Board for adoption;
9. Recommend standards for targeting the different parts of the homeless system and how assistance should be provided to different subpopulations, in consultation with recipients of ESG funds;
10. Provide required feedback and information, as needed, to the local government to complete the local Consolidation Plan(s) (HEARTH requirement);
11. Monitor HEARTH recipient’s performance, evaluate outcomes, and take actions to improve performance of, or reduce funding for, poor performers (HEARTH requirement);
12. Coordinate with ESG (state and local) recipients on their strategies for allocating ESG funds and evaluating performance of funded projects. (HEARTH requirement);
13. Review and recommend to the SCCoC Board any programs that should be removed from HUD funding and any proposed funding reallocations;
14. Recommend to the Ranking & Review Committee any actions against poor performers; and,
15. Plan and conduct a sheltered and unsheltered point-in-time count of homeless persons, consistent with HUD requirements and in collaboration with the SCCoC.

# Monitoring Guide

## Purpose

The goal of the Summit County Continuum of Care (SCCoC) Board and the SCCoC Executive Director is to manage recipients in a fair and consistent manner and to effectively ensure the programs are being conducted appropriately. Monitoring is one of the primary mechanisms by which this is accomplished. This Monitoring Guide defines monitoring responsibilities in managing recipients and administrative functions. This Guide is consistent with program regulations and local policies developed by the SCCoC Board and SCCoC Executive Director and adopted by the Continuum. All monitoring staff should be familiar with the contents of the Monitoring Guide before undertaking monitoring responsibilities. The Guide is one component of the SCCoC’s effort to strengthen and improve program compliance and address deficiencies identified by the SCCoC Executive Director. Monitoring is an integral management control technique and a SCCoC standard. It is an ongoing process that assesses quality of performance over time. Monitoring provides information about recipients that is critical for making informed judgements about program effectiveness and management efficiency. It also helps in identifying instances of fraud, waste, and mismanagement. The procedures described in this Guide set standard monitoring and compliance procedures for programs and activities. The Guide explains the standard processes for developing and implementing an effective monitoring system, including policies, goals, and objectives. The Guide describes the process for conducting a risk-assessment and local monitoring strategy. It outlines the steps involved in preparing for and conducting monitoring of programs and activities and outlines the needs for continuing follow-up actions. The Guide also lays out the process of quality assurance.

## Risk Assessment

The risk assessment is a methodology used to identify and analyze the relative risk that recipients may pose to the community. The process gives the SCCoC Executive Director consistent data to develop monitoring strategies to manage risk. The effectiveness of the SCCoC’s programs largely depends on how well policies and program requirements are implemented. In general, the overall objective of the risk assessment is to allocate a larger share of monitoring resources to programs that pose higher risk.

Risk assessment involves analyzing available data to identify possible risks that could prevent the community from meeting its program objectives and determine which programs and recipients are most susceptible to waste, fraud, and mismanagement. Risk assessments should be conducted for each program and then ranked by the SCCoC Executive Director. This process helps determine the relative risk to the community, as well as the City of Akron as the Collaborative Applicant. The risk assessment process determines both the agencies and activities to be reviewed by the SCCoC Executive Director.

## Risk Analysis

Risk analysis generally includes the following:

1. Estimates the level of risk (high or low)
2. Assesses the frequency or likelihood of occurrence
3. Considers how best to manage the risk
4. Determines the actions to be taken

Once risk has been analyzed, the SCCoC Executive Director must develop a strategy to manage the risk. Strategies can vary considerably from one program or administrative function to another, but all approaches should be designed to keep risk within levels established by the SCCoC Executive Director. Once the approach has been implemented, it should be monitored and tracked for effectiveness.

## Risk Criteria

Before risks can be assessed, an organization must first establish and define the risk criteria from which to measure.

1. Level of risk exposure to the SCCoC Board
2. Level of risk exposure to the Community
3. Likelihood that a recipient has failed to comply with HUD requirements
4. Likelihood that the recipient has been negligent

Recipients who pose a higher risk should be subjected to increased or more comprehensive monitoring. An important consideration in selecting factors is ensuring that the SCCoC Executive Director collects the necessary performance information about the recipients (i.e. financial audit, prior monitoring letter, APR’s and any other needed performance documentation). Using the risk assessment tools, each program within our SCCoC is assessed and a monitoring strategy is developed as a result of that assessment. There are six central categories of risk that should be used in all programs:

1. Financial – The extent to which a recipient accounts for, and manages, financial resources in accordance with approved financial management standards.
2. Physical – The extent to which funded physical assets are maintained and operated according to established standards.
3. Management – The extent to which the recipient has the capacity to carry out HUD programs according to established requirements.
4. Satisfaction – The extent to which clients express satisfaction or dissatisfaction with the delivery of program services.
5. Services – The extent to which recipient effectively and efficiently delivers services to intended beneficiaries/clientele.
6. Outcome – The extent to which the program or activity achieves the goals of the program.

## Data Sources

There are several sources that can be used to collect data when conducting risk assessments. Some of those sources are listed below, though not every source is applicable in every situation.

1. HMIS Data
2. Annual Reports
3. Annual Performance Reports
4. Audits, A-133 supplemental reports, and corrective action plans
5. Supporting documentation from billings
6. Previous Monitoring’s
7. Internal data from SCCoC Executive Director resources

## Data Validation

To the extent possible, monitors should test and validate data remotely for accuracy, completeness, and consistency. Testing and validation involves checking for missing data, ensuring that data is accurate or within established parameters, and/or checking that all required data fields have valid entries. Validating data helps ensure accuracy in identifying the risk assessment.

## Procedure

## Monitoring Visit

1. Entrance Conference

The purpose of the entrance conference is to:

1. Explain how the monitoring will be conducted;
2. Identify/confirm key program participant staff who will assist during the monitoring;
3. Set up or confirm meeting or interview times (including any clients who may be interviewed) and, if applicable, schedule physical inspections; and,
4. Verify the programs/activities to be reviewed and, if on-site, how access to files and work areas will be granted (some programs files can be sensitive and some work areas can be hazardous).
5. The Assessment Process

The real work of monitoring entails interviews and file reviews to verify and document compliance and performance (and can include physical inspections, if monitoring is conducted on-site). The Tool questions are designed to assess and document compliance with program requirements based upon:

1. File reviews to determine the accuracy of the information, using both automated and manual data, as well as reports submitted to HUD by the program participant;
2. Interviews with program participant staff, contractors, recipients, and clients to clarify and determine the accuracy of the information, to assess level of satisfaction with the provision of services (or the “end products”), and to document performance; and,
3. Financial document review to confirm HUD funds are being expended on eligible costs.
4. Exit Conference

At the end of the monitoring review, the SCCoC Executive Director conducts an exit conference with the appropriate participant officials or staff to discuss preliminary conclusions. In part, this serves to confirm the accuracy and completeness of the information which is used to form the basis for the monitoring conclusions. Any concerns or findings will be summarized and used to develop the monitoring letter.

## Monitoring Conclusions

All conclusions – positive or negative - must be supportable, defensible, and adequately documented.

1. Concerns

Where deficiencies are identified, the following procedures apply:

1. Concerns. Monitoring concerns brought to the program participant’s attention will include the **condition**, **criteria,** **cause**, and **effect.** The SCCoC Executive Director will suggest or recommend actions that the recipient can take to address a concern based on sound management principles or other guidelines.
2. Findings. Where an identified deficiency results in a finding, the finding **must** include the **condition, criteria, cause, effect,** and **required corrective action.**
3. The **condition** describes what was wrong or what the problem was
4. The **criteria** cites the regulatory or statutory requirements that were not met
5. The **cause** explains why the condition occurred
6. The **effect** describes what happened because of the condition or what could happen
7. The **corrective action** identifies the action(s) needed to resolve the problem and, unless inapplicable or there are extenuating circumstances, should include the time frame by which the participant is to respond to the finding

## Sanctions

1. *The Process*

Identified monitoring deficiencies that rise to the level of a “finding” require corrective action. Responsibility rests both with the SCCoC Executive Director and the entity being monitored. The SCCoC Executive Director must validate that there is sufficient documented information and/or evidence to support a finding of noncompliance. The entity being monitored has a responsibility to determine, or assist the SCCoC Executive Director in determining, the reason why a requirement was violated or provide evidence of compliance.

1. *Stipulations on Funding*

If an agency has findings for the same issue for two consecutive years after having the opportunities to make corrective action, the SCCoC Board has the option to; put sanctions on the funding (i.e. require more reporting, more documentation for reimbursement, more monitoring, require technical assistance, delay entering into an agreement, submitting monthly expense reports), or reallocate funding.

The Monitoring Letter

Within 60 days after completion of monitoring, the SCCoC Executive Director will send a written correspondence to the agency describing the results, in sufficient detail, of the areas that were covered and the basis for the conclusions. The letter will include:

1. the program, project, or entity monitored;
2. the dates of the monitoring;
3. a listing of the program/project/activity areas reviewed (which, in most cases, will repeat the areas outlined in the notification letter to the participant);
4. if applicable, a brief explanation of the reasons why an area specified in the notification letter was not monitored or other schedule deviations (e.g., time constraints, unanticipated problems arising in another area);
5. monitoring conclusions;
6. if applicable, clearly labeled concerns and findings; and,
7. if there are findings, a given opportunity for the program participant to demonstrate, within a time prescribed by the SCCoC Executive Director, that they have, in fact, complied with the requirements.

## Documentation

Each step of the monitoring process is documented. Documentation is maintained in a secure location accessible only to relevant staff. Where appropriate, data should be maintained electronically on a common server. Documentation should include:

## Risk Assessment

Copies of the risk assessment conducted each year are to be maintained in a central file or location. The risk assessment adheres to the policies established in this document and the procedures developed by the SCCoC Executive Director which are approved by the SCCoC Board.

## Monitoring Tools & Other Documentation

Each program has tools to be used when monitoring. Therefore, for each program area or subject reviewed, a monitoring guide must be followed. Monitoring guides are to be consistent with all funding regulations, but may be modified to meet local conditions.

The monitoring files should contain a copy of all correspondence between the agency and the SCCoC Executive Director impending monitoring, along with any appropriate attachments. The SCCoC Executive Director and recipient should agree on the date of the on-site monitoring visit.

The SCCoC Executive Director must keep copies of all supporting documentation and notes gathers during the official monitoring. All documentation should be clearly labeled indicating what they are and what part of the monitoring they support.

## Monitoring Letter

Within 60 days after completion of monitoring, SCCoC Executive Director will send a written correspondence to the agency describing the results – in sufficient detail to clearly describe the areas that were covered and the basis for the conclusions. All concerns or findings will be supported by regulations and any support materials obtained. Corrective Action, if necessary, will be required from a recipient in a specific timeframe decided by the SCCoC Executive Director.

## Follow-Up

To ensure the effectiveness of monitoring, the SCCoC Executive Director will send out a follow-up email to each agency offering technical assistance. Technical assistance can be provided from the SCCoC or another source depending on the need of the agency.

## HMIS

The SCCoC Executive Director is able to rely on data contained in HMIS because of HUD Data Standards and the 100% recipients participation rate. There are numerous points in the monitoring process where data from HMIS helps prepare for a monitoring visit, assess performance, and document results. For HMIS to appropriately reinforce monitoring efforts, monitors should ensure that the data is relevant, reliable, and timely. Data contained in HMIS must be supported by adequate documentation, as required by the funding source.

## Quality Assurance

The overall goal of monitoring is to ensure that SCCoC programs are performing in accordance with their statutory requirements, efficient management principles, and the objective standards established for them by both the funding source and the SCCoC Board. Program monitoring provides an early warning mechanism to identify operational problems before they reach a critical stage. It also provides a platform for recognizing exemplary ways of accomplishing program missions.

# Glossary and Terms

## Acronyms

APR ANNUAL PERFORMANCE REPORT

CPD COMMUNITY PLANNING & DEVELOPMENT (HUD OFFICE OF)

CSS COMMUNITY SUPPORT SERVICES

ES EMERGENCY SHELTER

ESG EMERGENCY SOLUTIONS GRANTS /EMERGENCY SHELTER GRANT (Previous program name)

FMR FAIR MARKET RENT

GIW GRANT INVENTORY WORKSHEET

HIC HOUSING INVENTORY COUNT

HOPWA HOUSING OPPORTUNITIES FOR PERSONS WITH AIDS

HMIS HOMELESS MANAGEMENT INFORMATION SYSTEM

HRE HOMELESS RESOURCE EXCHANGE

HP HOMELESSNESS PREVENTION

HPRP HOMELESS PREVENTION AND RAPID RE-HOUSING PROGRAM

HQS HOUSING QUALITY STANDARDS

HUD U.S. Department of Housing and Urban Development

MOU MEMORANDUM OF UNDERSTANDING

OMB OFFICE OF MANAGEMENT AND BUDGET

NOFA NOTICES OF FUNDS AVAILABLE

PIT POINT IN TIME

PBRA PROJECT BASED RENTAL ASSISTANCE

PRN PRO RATA NEED

PSH PERMANENT SUPPORTIVE HOUSING

RFP REQUEST FOR PROPOSAL

RRH RAPID RE-HOUSING

S+C SHELTER PLUS CARE

SH SAFE HAVEN

SHP SUPPORTIVE HOUSING PROGRAM

SO STREET OUTREACH

SOS STREET OUTREACH SERVICES (SHELTER CARE)

SRO SINGLE ROOM OCCUPANCY

SSO SUPPORTIVE SERVICES ONLY

TBRA TENANT BASED RENTAL ASSISTANCE

TH TRANSITIONAL HOUSING

# Definitions

## At risk of homelessness

1. An individual or family who:
2. Has an annual income below 30% of median family income for the area, as determined by HUD;
3. Does not have sufficient resources or support networks, e.g.; family, friends, faith-based or other social networks, immediately available to prevent them from moving to an emergency shelter or another place not inhabitable by humans; and/or,
4. Meets one of the following conditions:
5. Has moved because of economic reasons two or more times during the 60 days immediately preceding the application for homelessness prevention assistance;
6. Is living in the home of another because of economic hardship;
7. Has been notified in writing that their right to occupy their current housing or living situation will be terminated within 21 days of the date of application for assistance;
8. Lives in a hotel or motel and the cost of the hotel or motel stay is not paid by charitable organizations or by federal, state, or local government programs for low-income individuals;
9. Lives in a single-room occupancy or efficiency apartment unit in which there reside more than 2 persons, or lives in a larger housing unit in which there reside more than 1.5 people per room, as defined by the U.S. Census Bureau;
10. Is exiting a publicly funded institution, or system of care (such as a health-care facility, a mental health facility, foster care or other youth facility, or correction program or institution); or
11. Otherwise lives in housing that has characteristics associated with instability and an increased risk of homelessness, as identified in the recipient‘s approved consolidated plan;
12. A child or youth who does not qualify as "homeless" under this §, but qualifies as "homeless" under § 387(3) of the Runaway and Homeless Youth Act (42 U.S.C. 5732a(3)), § 637(11) of the Head Start Act (42 U.S.C. 9832(11)), § 41403(6) of the Violence Against Women Act of 1994 (42 U.S.C. 14043e- 2(6)), § 330(h)(5)(A) of the Public Health Service Act (42 U.S.C. 254b(h)(5)(A)), § 3(m) of the Food and Nutrition Act of 2008 (7 U.S.C. 2012(m)), or § 17(b)(15) of the Child Nutrition Act of 1966 (42 U.S.C. 1786(b)(15)); or (3) A child or youth who does not qualify as "homeless" under this §, but qualifies as "homeless" under § 725(2) of the McKinney-Vento Homeless Assistance Act (42 U.S.C. 11434a(2)), and the parent(s) or guardian(s) of that child or youth if living with her or him.

## SCCoC Board (the Board)

The governing board established to act on behalf of the SCCoC using the process established as a requirement by 24 CFR § 578.7(a)(3) and in compliance with the conflict of interest requirements at 24 CFR § 578.95(b).

The board must:

1. Be representative of the relevant organizations and of projects serving homeless subpopulations; and,
2. Include at least one homeless or formerly homeless individual.

*Centralized Intake or Coordinated Assessment System*

Means a centralized or coordinated process designed to coordinate program participant intake assessment and provision of referrals. A centralized or coordinated assessment system covers the geographic area, is easily accessed by individuals and families seeking housing or services, is well advertised, and includes a comprehensive and standardized assessment tool.

## Chronically homeless

1. An individual who:
2. Is homeless and lives in a place not meant for human habitation, a safe haven, or in an emergency shelter;
3. Has been homeless and living or residing in a place not meant for human habitation, a safe haven, or in an emergency shelter continuously for at least 1 year or on at least 4 separate occasions in the last 3 years; or
4. Can be diagnosed with 1 or more of the following conditions: substance use disorder, serious mental illness, developmental disability (as defined in § 102 of the Developmental Disabilities Assistance Bill of Rights Act of 2000 (42 U.S.C. 15002)), post-traumatic stress disorder, cognitive impairments resulting from brain injury, or chronic physical illness or disability;
5. An individual who has been residing in an institutional care facility, including a jail, substance abuse or mental health treatment facility, hospital, or other similar facility, for fewer than 90 days and met all of the criteria in paragraph (1) of this definition, before entering that facility; or
6. A family with an adult head of household (or if there is no adult in the family, a minor head of household) who meets all of the criteria in paragraph (1) of this definition, including a family whose composition has fluctuated while the head of household has been homeless.

## CoC Program

The CoC (Continuum of Care) program is the funding program of HUD authorized by subtitle C of title IV of the McKinney-Vento Homeless Assistance Act as amended (42 U.S.C. 11371 et seq).

## CoC Program Grantee (Recipient)

The CoC Program Grantee is the “recipient” as used by HUD and means an applicant that signs a grant agreement with HUD.

## Code of Federal Regulations (CFR)

A codification of the general and permanent rules published in the Federal Register by the Executive departments and agencies the U.S. federal government.

## Collaborative applicant

Means the eligible applicant that has been designated by the local CoC Board to apply for a grant for CoC planning funds under this part on behalf of the CoC.

## Committees & Workgroups

The SCCoC’s committees and workgroups are the action planning components of the system. In these bodies, strategies are developed, deepened, and expanded into time-limited work plans. These groups may also be directly responsible for specific strategies or exploring options to solve particular concerns.

## Consolidated plan

Means the HUD-approved plan developed in accordance with 24 CFR 91.

## The Continuum (Continuum of Care)

The name of this body will be the Summit County Continuum of Care (the SCCoC).

This has been defined in two ways:

1. Means the group organized to carry out the responsibilities required under this part and that is composed of representatives of organizations, including nonprofit homeless providers, victim service providers, faith-based organizations, governments, businesses, advocates, public housing agencies, school districts, social service providers, mental health agencies, hospitals, universities, affordable housing developers, law enforcement, organizations that serve homeless and formerly homeless veterans, and homeless and formerly homeless persons to the extent these groups are represented within the geographic area and are available to participate. (24 CFR § 578.3)
2. Means the group composed of representatives of relevant organizations, which generally includes [list as in first definition] that are organized to plan for and provide, as necessary, a system of outreach, engagement, and assessment; emergency shelter; rapid re-housing; transitional housing; permanent housing; and prevention strategies to address the various needs of homeless persons and persons at risk of homelessness for a specific geographic area. (24 CFR § 576.2)

## SCCoC Member

Those individuals and entities meeting the composition and eligibility standards of the SCCoC as set forth in this Charter.

## Eligible applicant

Means a private nonprofit organization, state, local government, or instrumentality of state and local government

## Emergency Shelter

Means any facility, the primary purpose of which is to provide a temporary shelter for the homeless in general or for specific populations of the homeless and which does not require occupants to sign leases or occupancy agreements.

## Emergency Solutions Grants (ESG)

Means the grants provided under 24 CFR part 576**.**

## High-Performing Community (HPC)

Means a Continuum of Care that meets the standards and has been designated as a high-performing community by HUD. To qualify as an HPC, a CoC must demonstrate through:

1. Reliable data generated by the CoC‘s HMIS that meets all of the following standards:
2. Mean length of homelessness. Either the mean length of episode of homelessness within the CoC’s geographic area is fewer than 20 days, or the mean length of episodes of homelessness for individuals or families in similar circumstances was reduced by at least 10% from the preceding federal fiscal year;
3. Reduced recidivism. Of individuals and families who leave homelessness, less than 5% become homeless again at any time within the next 2 years; or the percentage of individuals and families in similar circumstances who become homeless again within 2 years after leaving homelessness was decreased by at least 20% from the preceding federal fiscal year;
4. HMIS coverage. The CoC‘s HMIS must have a bed coverage rate of 80% and a service volume coverage rate of 80% as calculated in accordance with HUD’s HMIS requirements; and,
5. Serve families and youth. With respect to CoC’s that serve homeless families and youth defined as homeless under other federal statutes in paragraph (3) of the definition of homeless in 24 CFR § 576.2:
6. 95% of those families and youth did not become homeless again within a 2-year period following termination of assistance; or
7. 85% of those families achieved independent living in permanent housing for at least 2 years following termination of assistance.
8. Reliable data generated from sources other than the CoC‘s HMIS that is provided in a narrative or other form prescribed by HUD that it meets both of the following standards:
9. Community action. All the metropolitan cities and counties within the CoC‘s geographic area have a comprehensive outreach plan, including specific steps for identifying homeless persons and referring them to appropriate housing and services in that geographic area; and,
10. Renewing HPC status. If the CoC was designated an HPC in the previous federal fiscal year and used CoC grant funds for activities described under 24 CFR § 578.71, that such activities were effective at reducing the number of individuals and families who became homeless in that community.

## Homeless

1. An individual or family who lacks a fixed, regular, and adequate nighttime residence, meaning:
2. 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 camping ground;
3. 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
4. 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;
5. An individual or family who will imminently lose their primary nighttime residence, provided that:
6. The primary nighttime residence will be lost within 14 days of the date of application for homeless assistance;
7. No subsequent residence has been identified; and
8. 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;
9. Unaccompanied youth under 25 years of age, or families with children and youth, who do not otherwise qualify as homeless under this definition, but who:
10. Are defined as homeless under § 387 of the Runaway and Homeless Youth Act (42 U.S.C. 5732a), § 637 of the Head Start Act (42 U.S.C. 9832), § 41403 of the Violence Against Women Act of 1994 (42 U.S.C. 14043e-2), § 330(h) of the Public Health Service Act (42 U.S.C. 254b(h)), § 3 of the Food and Nutrition Act of 2008 (7 U.S.C. 2012), § 17(b) of the Child Nutrition Act of 1966 (42 U.S.C. 1786(b)), or § 725 of the McKinney Vento Homeless Assistance Act (42 U.S.C. 11434a);
11. Have not had a lease, ownership interest, or occupancy agreement in permanent housing at any time during the 60 days immediately preceding the date of application for homeless assistance;
12. Have experienced persistent instability as measured by two moves or more during the 60-day period immediately preceding the date of applying for homeless assistance; and,
13. Can be expected to continue in such status for an extended period of time because of chronic disabilities; chronic physical health or mental health conditions; substance addiction; histories of domestic violence or childhood abuse (including neglect); the presence of a child or youth with a disability; or two or more barriers to employment, which include the lack of a high school degree or General Education Development (GED), illiteracy, low English proficiency, a history of incarceration or detention for criminal activity, and a history of unstable employment; or
14. Any individual or family who:
15. Is fleeing, or is 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 a 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;
16. Has no other residence; and,
17. Lacks the resources or support networks, e.g., family, friends, and faith-based or other social networks, to obtain other permanent housing.

## Homelessness prevention

ESG funds may be used to provide housing relocation and stabilization services and short- and/or medium-term rental assistance necessary to prevent an individual or family from moving into an emergency shelter or another place described in paragraph (1) of the “homeless” definition in 24 CFR § 576.2. This assistance, referred to as homelessness prevention, may be provided to individuals and families who meet the criteria under the “at risk of homelessness” definition, or who meet the criteria in paragraph (2), (3), or (4) of the “homeless” definition in 24 CFR § 576.2 and have an annual income below 30 percent of median family income for the area, as determined by HUD. The costs of homelessness prevention are only eligible to the extent that the assistance is necessary to help the program participant regain stability in the program participant's current permanent housing or move into other permanent housing and achieve stability in that housing. Homelessness prevention must be provided in accordance with the housing relocation and stabilization services requirements in 24 CFR § 576.105, the short-term and medium-term rental assistance requirements in 24 CFR § 576.106, and the written standards and procedures established under 24 CFR § 576.400.

## Permanent housing

Means community-based housing without a designated length of stay, and includes both permanent supportive housing and rapid rehousing. To be permanent housing, the program participant must be the tenant on a lease for a term of at least one year, which is renewable for terms that are a minimum of one month long, and is terminable only for cause.

## Permanent supportive housing

Means permanent housing in which supportive services are provided to assist homeless persons with a disability to live independently.

## Point-in-time count

Means a count of sheltered and unsheltered homeless persons carried out on one night in the last 10 calendar days of January or at such other time as required by HUD.

## Private nonprofit organization

Means an organization that does not include governmental organizations, such as public housing agencies and:

1. No part of the net earnings of which inure to the benefit of any member, founder, contributor, or individual;
2. That has a voluntary board;
3. That has a functioning accounting system that is operated in accordance with generally accepted accounting principles, or has designated a fiscal agent that will maintain a functioning accounting system for the organization in accordance with generally accepted accounting principles; and,
4. That practices nondiscrimination in the provision of assistance.

## Program participant

Means an individual (including an unaccompanied youth) or family who is assisted with SCCoC program funds.

## Project

Means a group of eligible activities, such as HMIS costs, identified as a project in an application to HUD for SCCoC funds and includes a structure (or structures) that is (are) acquired, rehabilitated, constructed, or leased with assistance provided under this part or with respect to which HUD provides rental assistance or annual payments for operating costs, or supportive services under this subtitle.

## Rapid Re-Housing

From National Alliance to End Homelessness: Rapid Re-Housing: Creating Programs that Work (July 2009) Rapid Re-Housing is for “individuals and families who are experiencing homelessness (residing in emergency or transitional shelters or on the street) and need temporary assistance in order to obtain housing and retain it” (HUD Homelessness Prevention and Rapid Re-Housing (HPRP) Notice, March 19, 2009).

These are the key components:

1. The individual or family is currently homeless;
2. The “Rapid” in Rapid Re-Housing means that the household is assisted to obtain permanent housing as quickly as possible. People move directly from homelessness to housing. There are no intermediate programs that delay their move to housing;
3. Rapid Re-Housing provides the minimal amount of assistance—amount and length—needed to obtain and retain housing;
4. Households are empowered to make their own choices and to respond to the consequences of those decisions;
5. The key to successful re-housing is understanding the individual’s barriers to getting and keeping housing—then finding ways to eliminate or compensate for those barriers.

## Recipient

See *CoC Program Grantee*.

## Relevant organizations

Include nonprofit homeless assistance providers, victim service providers, organizations, governments, businesses, advocates, public housing agencies, school districts, social service providers, mental health agencies, hospitals, universities, affordable housing developers, law enforcement, and organizations that serve veterans, homeless, and formerly homeless individuals.

## Safe haven

Means, for the purpose of defining chronically homeless, supportive housing that meets the following:

1. Serves hard to reach homeless persons with severe mental illness who came from the streets and have been unwilling or unable to participate in supportive services;
2. Provides 24-hour residence for eligible persons for an unspecified period;
3. Has an overnight capacity limited to 25 or fewer persons; and,
4. Provides low-demand services and referrals for the residents.

## SCCoC staff

The coordination hub responsible for:

1. Providing logistical support for SCCoC responsibilities as in Interim Rule – 24 CFR § 578.7;
2. Convening and facilitating the Board and key working groups;
3. Monitoring strategic coherence across efforts;
4. Coordinating communication within the Continuum;
5. Managing collective data systems and information distribution;
6. Mobilizing planning efforts that frame future SCCoC Strategic Plan, related community-wide plans and their revision;
7. Stewarding resources for collective impact as appropriate

As such, the support is not a “lead” entity, but rather performs the roles of advocate, planning consultant, project manager, and logistics staff – though always free to delegate elements of its responsibility to appropriate SCCoC members and/or contracted support as appropriate.

*Transitional housing*

Means housing, where all program participants have signed a lease or occupancy agreement, the purpose of which is to facilitate the movement of homeless individuals and families into permanent housing within 24 months or such longer period as HUD determines necessary. The program participant must have a lease or occupancy agreement for a term of at least one month that ends in 24 months and cannot be extended.