Kings/Tulare Continuum of Care
on Homelessness

Policies and Procedures

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Introduction to these Policies and Procedures

The Continuum of Care (CoC) is a regional, year-round planning body of representative stakeholders in the community's work toward ending homelessness, which coordinates the community's policies, strategies and activities toward ending homelessness. Its work includes gathering and analyzing information in order to determine the local needs of people experiencing homelessness, implement strategic responses and measure results. The CoC also sets the local process for applying, reviewing and prioritizing project applications for funding each year in the Homeless Assistance Grants competition.

This document outlines key operational components of the CoC, including policies and procedures for the CoC.

Activities of the Continuum of Care

The Continuum of Care (CoC) is the planning body that provides a forum for discussing plans to end homelessness in the CoC, educating the community on homeless issues, providing advice and input on the operations of homeless services, program operations, and advocating on federal, state, Kings and Tulare Counties and city policy issues affecting people who are homeless or at-risk of homelessness.

Responsibilities of the CoC include the following:

- Orchestrate a vision for ending homelessness in Kings and Tulare Counties
- Encourage and develop public understanding and education on homeless and housing issues
- Provide advocacy on homeless concerns to the Board of Supervisors and cities located in Kings and Tulare Counties
- Make recommendations about long-range planning and policy formulation to the Board of Supervisors and cities located in Kings and Tulare Counties
- Assess effectiveness, quality, efficiency, access, and availability of homeless services throughout Kings and Tulare Counties
- Collect data on needs of the homeless through Point in Time counts and housing inventory surveys
- Facilitate on-going coordination and collaboration among all the components of the homeless services system for purposes of service delivery, planning and resource management, fund-raising, and policy and program development
- Strategize to fill gaps in homeless services and housing, avoid duplication, and maximize efficiency in service provision
- Encourage homeless housing and service programs to adopt best practices
- Provide a forum for coordination among Kings and Tulare Counties departments and agencies on policy, program and fiscal issues related to homelessness and prevention
- Coordinate between Kings and Tulare Counties and all entitlement city departments and agencies on policy, program and fiscal issues related to homelessness and prevention
- Create and implement strategies and action steps to reduce and end homelessness
- Coordinate a collaborative process for the development of a Continuum of Care Homeless Assistance Grants application to HUD
- Coordinate a process for evaluating the outcomes of homeless housing and services programs, especially those funded through HUD Homeless Assistance Grants
- Establish priorities for funding HUD Homeless Assistance Grants projects
- Participate in the Consolidated Plan and work to align it with the strategies and goals of the Continuum of Care
- Ensures operation of, and consistent participation by, HUD Homeless Assistance Grants programs in the homeless management information system (HMIS)

Membership of the Continuum of Care

The CoC is broadly representative of the public and private homeless service sectors, including homeless client/consumer interests. The CoC encourages all members of the community to participate in group discussions and working groups. The CoC works to assure diverse population input to CoC deliberations and decision-making, including consumers and community members, as well as gender, ethnic, cultural and geographical representation. All interested persons are encouraged to attend meetings, provide input, and voice concerns.

Outreach is made to ensure participation from the following groups:

- Homeless service providers and agencies
- Local homeless coalitions and networks
- Community and faith-based organizations
- Nonprofit housing developers
- Local government representatives (city and Kings and Tulare Counties)
- Key civic leaders
- Homeless and formerly homeless people
- Homeless advocates
- Public Housing authorities
- Private health care organizations
- Mental health service providers and funders
- Substance abuse service providers and funders
- Local job councils
- Colleges and universities
- Veteran service agencies
- Representatives of special needs populations such as:
    - Persons experiencing chronic homelessness
    - Veterans
    - Persons with serious mental illnesses
    - Persons with substance abuse issues
    - Persons with HIV/AIDS
    - Persons with co-occurring diagnoses (may include diagnoses of multiple physical disabilities or multiple mental disabilities or a combination of these two types)
    - Victims of domestic violence
    - Youth
- Religious leaders
- Businesses and business associations
- Key members of local planning groups
- Employers
- Political leaders
- Law enforcement and corrections agencies
- School districts

The Membership Committee conducts ongoing efforts to include essential providers and stakeholders (listed above) in the CoC. When a particular gap in membership is identified in the CoC, the Membership Committee will target missing constituencies, brainstorm agencies and names, and contact people to represent missing constituencies. The Membership Committee will develop a recruitment plan with goals, timelines, and assignments. The recruitment plan will prioritize organizations and individuals to be recruited, specifically:

- Organizations or individuals that may help attract other new members
- Organizations or individuals that may help the CoC reach some of its goals

Face-to-face meetings will be the primary method used for targeted recruitment efforts, especially for those organizations that are a high priority. In preparing for these meetings, the Membership Committee will conduct background research on an organization and its staff. The committee will use this information to develop a clear understanding of how an organization may help the CoC, how the CoC may help the organization, how and at what level the organization may participate in the continuum, and possible outcomes of a collaboration. The membership outreach tools in the attachment to this policy provide a framework for conducting these face-to-face meetings.

To recruit Locally Elected Officials (LEO), the Membership Committee will send CoC representatives to LEO forums, explain the CoC's role and work, need for representation, nature of meetings and time commitment.

The CoC will hold membership outreach meetings at which potential members are provided with background information about the continuum. At a minimum, new members will receive a brief orientation that includes the following:

- Background information on the CoC
- The strategic (or annual) plan
- Organizational structure
- Meeting dates
- Membership contact information
- Other resources to engage new stakeholders

For new members, the CoC will:

- Create a mentoring program, to bring new people in and partner them with an existing member
- Create a "new members" meet and greet event
- Create new members orientation session for 15 minutes before each meeting, to give some background on the agenda topics for the day

The Membership Committee will document their efforts to bring all stakeholders into the CoC.

To facilitate participation by consumers, the CoC will arrange for transportation to and from the CoC meetings for consumers.

For all members, the CoC will clearly define

- The mission of the CoC
- Membership roles and expected level of involvement and time
- Structure of the CoC
- Needed areas of expertise
- Nature of participation

Responsibilities of and Benefits to Continuum of Care Members

All members of the CoC shall demonstrate a professional interest in, or personal commitment to, addressing and alleviating the impact of homelessness on the people of the community.

CoC members have an active role in the CoC. Members are expected to:

- Attend meetings
- Serve on a committee of the CoC
- Collect needs data through the annual Point in Time count and the Housing/Services Inventory
- Review data to ensure accuracy
- Provide input to creating strategies and action steps to reduce and end homelessness
- Participate in advocacy and public education efforts
- Provide outcome data on the successes and challenges of homeless persons in their programs
- Participate in the Continuum of Care Homeless Assistance Grants application process
- Report back to the constituency they represent on key issues and strategies
- Seek input from the constituency they represent on key issues and strategies
- Keep abreast of needs and gaps
- Contribute to informed dialog on all actions the group undertakes
- Review proposals for funding

The CoC will work to ensure that members can see clearly how the CoC benefits their organization and how their input will help the CoC. The CoC will highlight the benefits to being a CoC member, including:

- Enhanced agency effectiveness through collaboration and partnerships with other agencies
- Access to federal funding opportunities
- Ability to influence local homelessness policy
- Ability to achieve goals and objectives that individual member organizations will benefit from but would not be able to achieve on their own
- Access to trainings
- Access to data
- Eligibility to serve on the Rating Committee for HUD Homeless Assistance Grants
- Ability to help create a more efficient homeless program and service delivery system and maximizing use of limited resources by eliminating duplication in services
- Ability to identify ways to coordinate and link resources to avoid duplication and facilitate movement towards permanent housing and self-sufficiency
- Enhanced understanding of the needs of the homeless in the community
- Ability to take part in new and creative solutions to meet the needs of the homeless in the community
- Expanded networking opportunities and improved access to contacts and relationships formed by other groups
- Strengthened political position in the community and improved access to decision makers
- Increased access to funding opportunities that require community collaboration
- Ability to improve organizational practices and communication

Continuum of Care Code of Conduct

The following Code of Conduct provides a foundation of ethics for the Kings/Tulare Continuum of Care on Homelessness (Continuum).

The Continuum prohibits the solicitation and acceptance of gifts or gratuities (anything of monetary value) by officers, employees and agents for their personal benefit. Ask yourself if the gift would have been offered if you did not have your position. If the answer is “No” then you should decline accepting the gift.

A. The Continuum promotes impartiality in performing official duties, and prohibits any activity representing a conflict of interest. You should not act on a matter if a reasonable person who knew the circumstances of the situation could legitimately question your fairness.

B. The Continuum prohibits the misuse of position. You cannot use your position with the Continuum for your own personal gain or for the benefit of family or friends.

C. Officers and employees shall put forth honest effort in the performance of their duties.

D. Officers and employees shall not knowingly make unauthorized commitments or promises of any kind purporting to bind the Continuum without previous Board approval.

E. Officers and employees shall disclose waste, fraud, abuse, and corruption to appropriate authorities.

F. Officers and employees shall adhere to all laws and regulations that provide equal opportunity for all Americans regardless of race, color, religion, sex, national origin, age, or handicap.

Violation of this any portion of this code will be subject to disciplinary action which could include immediate termination. The code has been distributed to the Continuum’s Board of Directors, as well as posted on the Continuum’s website. A link to the code has also been distributed to the Continuum’s partner agencies.

Grievance Policy and Procedure for Written and Verbal Complaints

Policy Statement

It is the policy of the Kings/ Tulare Continuum of Care (CoC) to provide its members with a fair and efficient process to present and resolve complaints and grievances. In the case of complaints about programs, it must be clear that the CoC is not an official oversight entity but does have considerable influence.

Each HUD funded organization shall have a grievance procedure and shall implement the procedure when applicable.

Written Complaints about the CoC

Any written complaint against the CoC will be reviewed by the Executive Board within ten days of its receipt. The President or to the Vice-President: Internal Affairs will respond within 30 days by:

- Assisting the complainant in articulating /identifying issues, if needed.
- Determining what action needs to be taken, if any.
- Responding in writing to complainant with clear identification of issue and specifics about its resolution.

Complaints about a Program Receiving McKinney-Vento Funds

- A first-person written and/or documented complaint will be considered a **grievance**.
- A verbal, second-hand or hearsay complaint will be considered a **complaint**.
- The person making the grievance or complaint will be asked if they have adhered to grievance procedures provided by the organization they are making a grievance or complaint about. If the person making the grievance or complaint has not gone through the grievance procedure provided by the organization, the CoC will recommend that the person do so and document that recommendation. If the resolution provided by that organization was not satisfactory to the complainant, he/she may put the problem in writing and submit it to the President or the Vice-President: Internal Affairs of the CoC. If the complainant does not want his/her name attached to the complaint, his/her anonymity will be protected. If the complainant is unwilling to put the concern in writing, the President or another CoC member will document what has been said.
- Each situation will be treated seriously and with sensitivity, and will be documented for the record with date, time, program name, and nature of the complaint, as well as with any action taken towards resolution.
- Once a complaint or grievance has been submitted, the President or Vice-President: Internal Affairs will approach the problem program's representative, explain the complaint or grievance, and ask for a response to the charge(s). Responses will be documented. It will be up to the President or the Vice-President: Internal Affairs to decide if the matter needs to be discussed by the Executive Board. A second complaint or grievance will be handled the same.
- If a program receives a third complaint, the Executive Board will review the situation and recommend action. The Executive Director of the program being reviewed will be asked to respond to the Executive Board.
- All complaints or grievances involving **vulnerable adults or children** will be immediately turned over to the appropriate county office.

Complaints about a Homeless Program Not Involved in or Funded through the CoC

Any complaints received against programs that are components of the Continuum but not participants in the process will be recorded. Information will be shared with Executive Board and/or funders or other stakeholders if and when deemed appropriate.

All complaints or grievances involving **vulnerable adults and children** will be immediately turned over to the appropriate county office.

*All complaints and grievances should be submitted to the President. However, if there is a **conflict** apparent with reporting problems to the President, reports can be made to the Vice-President: Internal Affairs.

Adopted: December 8, 2011 by the Board of Directors

Continuum of Care Diversity Policy Statement

Diversity transcends race and gender and is different from Equal Opportunity and Affirmative Action. The Kings/Tulare Continuum of Care on Homelessness (CoC) Diversity Policy requires that all CoC members, contractors, and volunteers to respect and value differences, be they age, race, nationality, ethnic group, sexual orientation, physical ability, health status, religion, educational experience, marital or parental status, or geographical location.

CoC members, contractors and volunteers must be sensitive and responsive to the diversity of the people and organizations we serve. We believe that this Diversity Policy relates to ethics, social responsibility and in doing what is right. It also translates directly to improving human performance as well as organizational success.

Continuum of Care Leadership

The success of the CoC depends in part on strong leadership. The CoC looks for leaders who have the organizational skills needed to maintain the group's focus on its goals and the process for achieving those goals. A leader must be able to manage the daily tasks of the CoC.

The wide array of tasks involved in operating the CoC include the following:

- Organizing and facilitating meetings
- Maintaining communications between stakeholders
- Organizing and leading needs assessment activities, including a point-in-time count
- Arranging technical assistance and training to providers as needed
- Managing and overseeing the preparation of the HUD application
- Completing other funding applications
- Managing the long-range planning process
- Building partnerships
- Overseeing system coordination
- Assessing progress of system change
- Providing support to the board and its key committees
- Establishing organizational plans, policies, and procedures as necessary for effective operation of the CoC
- Managing existing financial resources
- Administering and evaluating fundraising for the CoC
- Acting as spokesperson for the CoC to the press, including preparing and executing advocacy alerts, scheduling presentations to community groups and increasing awareness of homelessness issues
- Maintaining contact with state, Kings and Tulare Counties, and federal agencies that work on issues impacting the homeless population.
- Keeping abreast with and participating in legislative issues affecting homelessness
- Keeping the leadership group informed through regular reporting of progress on the CoC's goals, objectives, and strategic plans, including committee reports and all other relevant matters

In addition to the above tasks, organizing a CoC meeting requires:

- Setting the time, date and location of meetings
- Reserving meeting space
- Sending agendas, minutes and next meeting time/date/location to CoC email list
- Preparing an agenda and providing copies of the agenda to members
- Providing attendance sign-in sheets at meetings
- Planning the meeting
- Providing facilitation
- Taking minutes
- Coordinating with board and committee members
- Compiling background materials
- Locating and preparing the meeting site

Financial Policies and Procedures

Internal Control System and Budget Controls

The Kings/Tulare Continuum of Care's (Continuum) internal control system consists of the following clearly defined fiscal responsibilities of their governing board, organizational structure of the Continuum, separation of duties, control over assets and documents and reconciliation of records.

A. Governing Board
   1. The Board of Directors (Board) is responsible for the financial oversight of the Continuum including approving monthly financial reports.
   2. The annual budget is first approved by the Board and then recommended for approval by the Members of the Continuum.
   3. Expenditures of funds beyond those approved in the budget are subject to prior Board approval.
   4. Financial policies will be reviewed and approved annually by the Board, or more frequently as needed and approved by the Board.

B. Control Over Assets and/or Documents, Separation of Duties and Reconciliation of Records
   1. The Board has the responsibility for all assets and expenditures of the Continuum.
   2. All financial transactions will be reviewed and approved through a two-tiered process involving the Treasurer and President to ensure that no one person has total control over a financial transaction.
   3. The Treasurer has the responsibility for the following financial transactions including:
      a. Accounts payable and accounts receivable;
      b. Receiving cash and checks from the mail and/or staff;
      c. Depositing funds in the bank;
      d. Purchasing equipment, furnishing and supplies, as needed, and if an approved line item in the budget;
      e. Maintaining and annually updating inventory records;
      f. Managing the Continuum's Bookkeeper;
      g. Reviewing all check runs produced by the Bookkeeper, preparing and/or reviewing financial reports, and verifying all entered by the Bookkeeper.
   4. In addition, the Treasurer reviews all financial transactions to ensure compliance with approved budgets including:
      a. Accounts payable and receivable;
      b. Reconciles monthly bank statements;
      c. Maintains accounting records;
      d. Produces monthly financial statements; and
   5. The Treasurer will maintain an inventory record listing the item description, serial number or other identifying number, date purchased, purchase price, source of funds, program and location of the item. If the item is no longer in service, date the item was disposed of and whether it was discarded or given to another agency with a similar mission. Approval by the Board is required prior to disposal.

Procurement Policies

The Continuum has the following procurement policies and standards in place addressing the process for purchasing eligible equipment and supplies, capital items, subcontracting, travel and mileage policies, storage and safekeeping of all financial records, blank checks and credit cards and separation of duties.

A. Purchasing Process
   1. The requester will submit a Payment Authorization Form to the Treasurer detailing the item to be purchased, the vendor, why the item is necessary, the category for the expense and the budget line item associated with the purchase.
   2. If the item to be purchased has been previously approved in the budget, then the item can be purchased without prior approval. After the purchase, a Payment Authorization form would be submitted, with the required documentation, for review and approval by the President. Examples of this include monthly Consultant payments and items for special events like Project Homeless Connect.
   3. The Treasurer will review the request for accuracy, determine if the purchase is an eligible approved budget cost and verify that the account associated with the specific funding source for this item is on the request and is accurate.
   4. The President verifies the information and either approves or denies the request. If the request is denied, it is returned to the requester with an explanation of why it was denied.
   5. Upon approval, the requester purchases the item, staples the purchase request to the receipt and forwards to the Treasurer for payment.
   6. Acceptable forms of documentation are original dated receipts and invoices that have been signed and dated by the vendor.

B. Procurement
   1. Bids will be required for any item costing $5,000 or more. The Treasurer, or other Board member as requested by the Treasurer, will manage the bidding process.
   2. All capital items will be properly identified in the inventory records and reconciled with accounting records.
   3. To the greatest extent feasible, the Continuum will use small minority-owned and/or woman-owned businesses.
   4. Checks for purchases of $5,000 or more require two signatures (the President and Treasurer).
   5. All orders/contracts shall be awarded on the basis of quality, delivery, service, price, and vendor/contractor qualifications. When these factors are equal, up to a five percent (5%) preference will be given to local vendors.
   6. The Treasurer will evaluate recycled and environmentally friendly products to determine the extent to which they may be used and will purchase recycled, recyclable, or environmentally friendly products whenever their use is practical and feasible.
   7. Bids are not required when the contract is for professional services such as attorneys, architects, engineers, data processing, public relations, and promotions, elections services, professional consultants, insurance bonds, or other services of a similar nature.

C. Subcontractors
   1. All subcontractors will have a signed agreement with the Continuum identifying the scope of work, the source and amount of payment, timeframe for completion of work and applicable rules and regulations.
   2. Subcontractors with the Continuum must adhere to the same rules, laws and guidelines that govern the original contracting agreement under which the subcontract is issued.
   3. Subcontractors are subject to monitoring by the Continuum or the funding source as a condition of their agreement with the Continuum.
   4. All subcontractor agreements will be reviewed by the Board and approved by the Members.

D. Travel Costs and Mileage

1. Travel costs attributed to the Continuum, including transportation, lodging, meals and related items will be reviewed by the Treasurer for eligibility and pre-approved by the Board.
2. Mileage will be reimbursed according to the current IRS rate.
3. Reimbursement will be for actual expenses approved within the funding source budget.
4. The requester will complete a travel reimbursement form, attach original receipts and submit the request to the Treasurer for reimbursement.
5. All reimbursement for travel will be reviewed and approved by the President prior to reimbursement.

E. Limited Access to Assets and Records
1. All accounting records including blank checks, credit cards, bank statements and any other financial information will be secured.
2. Computers containing financial records will be password protected.

Accounting System

The Continuum's accounting system includes cash procedures, management of receivables and payables, and billing within the accounting structure of the Continuum. The accounting structure will include a chart of accounts, cash receipts journal, cash disbursement journal, and general ledger.

Accounting records will track the sources and uses of funds to ensure that program costs are incurred for the proper period of time, expended on eligible items in the approved budget, expended from the appropriate funding source and approved by the Board of Directors.

A. Accounts Receivable - Cash Procedures
1. The Continuum will identify where funds were initially collected, recorded and deposited in order to reconcile to the Cash Receipts journal.
2. Receipts will be logged in a two part pre-numbered receipt book issued and controlled by the Treasurer.
   a. The original receipt is given to the payer.
   b. The second copy is retained in the receipt book. If a receipt must be voided, the original and first copy will be submitted.
3. When complete, receipt books are to be returned to the Treasurer for audit and storage.
4. In some instances, a receipt may not be issues for cash donations received by Members. If request, a receipt will be mailed to the donor. These transactions will be documented in the journal and through copies of deposit slips.
5. Cash receipts will be stored in a secure location until deposited in the bank.
6. At a minimum the following information is required on all cash receipts:
   a. Received from;
   b. Type of payment
   c. For (account distribution)
   d. Total amount received
   e. Received by.

   All cash receipts will be signed and dated by the authorized person receiving the cash.

B. Accounts Receivable – Checks & Contract Billings
1. Contract billings, checks and reimbursable costs will be recorded when earned or received.
2. A master list of billings will be kept and checked off to ensure all contract billings and reimbursable costs are billed in a timely manner.

3. An aged receivable list will be reviewed monthly by the Board. Delinquent accounts will be reviewed to determine the most appropriate action to be taken.
4. Checks will be entered into the general ledger. Check stubs will be retained for the records.

C. Accounts Payable
   1. Purchases will be based on valid approved requests, properly executed as to price, quantity, quality and vendor.
   2. Invoices will be accurate, account distribution will be accurate and transactions will be promptly and accurately recorded as to payee, amount and period.

D. Accounting Structure - Definitions
   1. Cash receipts and cash disbursement will document chronologically when the funds were received and disbursed.
   2. General ledger will summarize chronologically the activity and financial status of all accounts for the Continuum.

Audits

A. The Audit Committee will perform a review of the Continuum's accounting records annually. They will provide constructive feedback and evaluation of the Continuum's books and financial position.
B. Any member of the Continuum can join the Audit Committee.

Conflict of Interest

A. No employee, officer, agent, family members, or partners of the same will solicit or accept gratuities or anything of value from contractors or parties to sub-agreements.
B. A person who is an employee, in a decision making position, or has information about decisions made by the Continuum may not obtain a personal or financial interest or benefit from the Continuum's activity, unless pre-approved by the Board of Directors.

Other

A. For specific policies regarding issuing check, deposits, and the role of the Bookkeeper, see attached Exhibit A, which will be reviewed quarterly by the Board to ensure feasibility, implement updates, and ensure effectiveness of the system.

Issuing Checks, Monthly Reports and the Role of the Bookkeeper

Effective August 1, 2011, the Continuum will retain a consultant to be the Bookkeeper for the Continuum. The following general procedures will apply to the roles and responsibilities, and relationship between the Treasurer and the Bookkeeper.

Check Issuance

- Continuum Board Members, PHC Committee members, and others as delegated, shall e-mail all Payment Authorization Request(s) and associated invoices or receipts to the Bookkeeper, and copy the Treasurer and President.
- The President shall review and approve/deny all invoices for payment. If the President is submitting the Payment Authorization Request, then the Vice-President External or Vice-President Internal should be included on the request and have the authority to approve/disapprove as appropriate.
- Payment Request(s) and invoices will only be approved if they have the following:
  - Complete Payment Request Form including the category of the expense and associated account from the chart of accounts.
  - Include a copy of the invoice or receipt for the expense.
  - A complete W-9 (if required)
- The Bookkeeper will issue all checks for Payment Authorization Requests approved by the President, enter the invoices into QuickBooks, and bundle the checks with documentation for review and signature by the Treasurer.
- The Treasurer will review all checks, and will approve and sign if they include the following:
  - Payment Authorization Request Form
  - Invoice or Receipt
  - President or Vice-President(s) Approval
  - A complete W-9 (if required)
- Payment Authorization Forms for special events, such as supplies for Project Homeless Connect, may be approved without a receipt or invoice if they are approved in advance by the President.
- All complete Payment Authorization Request Forms/invoices submitted by 5:00 p.m. PST on the 30th of the month will be reviewed for payment by the 5th of the following month, and complete Payment Authorization Request Forms/invoices submitted by 5:00 p.m. PST on the 14th of the month will be reviewed for payment by the 20th of the month.
- Check packages will be delivered to the Treasurer on the 5th and 20th of the month to be signed and mailed.
- The Bookkeeper will reconcile the Continuum's bank account with QuickBooks monthly on the 1st of the month.
- The Treasurer will sign all checks, save the check stub, and retain all check runs and associated documentation.
- The Treasurer will provide monthly financial reports, as follows, to the Board, by the 5th of each month:
  - Profit & Loss (P&L) Report
  - Expanded P&L with monthly detail
  - Balance Sheet

Deposits

All deposits shall be sent to the Treasurer. Each deposit must be accompanied by the Deposit Request Form, indicating the category and account number where funds should be deposited. Carbon copy(s) of the CoC Receipt can be used in-lieu of the Deposit Request Form, as long as the requestor includes the category and account number where the funds should be deposited.

Annual Project Homeless Connect Reconciliation

At the end of each fiscal year, the Treasurer and Bookkeeper will provide a summary of all Project Homeless Connect (PHC) revenue and expenditures to the Board and each PHC Committee Chair. Each Committee Chair will be given the opportunity to comment on the income/expenditures, to ensure that the Continuum's records match the individual committee records of each PHC event. Each account with a positive balance, including any carry over income from previous fiscal years, will be documented by moving positive net income from the fiscal years books to the restricted asset account, as part of the annual close-out. A final memo of all PHC account balances will be provided to the Board and PHC Committee Chair(s) and entered into the Continuum's financial records.

Form 1099 Requirements and Submitting a W-9

No later than January 20th of each year, the Bookkeeper will prepare 1099 forms for any consultant or contractor that was paid more than $600 by the Continuum in the previous calendar year. Form 1099 series is used to report various types of income other than wages, salaries, and tips (for which Form W-2 is used instead). Examples of reportable transactions are amounts paid to independent contractor for services (in IRS terminology, such payments are *nonemployee compensation*).

In order to issue the 1099 forms, the Continuum will require that any check request over $100 include a completed W-9 Form. In the event the submitting party can clarify with the Treasurer or Bookkeeper that a completed W-9 is already on file for that calendar year, this requirement will be waived. See Exhibit D for the W-9 form.

The Bookkeeper will be responsible for establishing each payee in the system as a "vendor" in order to facilitate the issuance of 1099 forms no later than January 20th annually.

Other

It shall be the responsibility of the Vice-President Internal Affairs, or designee, to ensure that the P.O. Box is checked monthly, and all checks or invoices are promptly delivered to the Treasurer by the 14th and 30th of the month.

The following Exhibits have been included for reference in Appendix IV:

- Exhibit A: Payment Authorization Request Form
- Exhibit B: Deposit Request Form
- Exhibit C: Chart of Accounts
- Exhibit D: W-9 Form

Continuum of Care Committees and Task Forces

Much of the work of the CoC is conducted at committee and task force meetings. Standing committees are outlined in the Bylaws; the CoC will create ad-hoc committees and task forces as the need arises. The purpose of these ad hoc committees and task forces will be to develop recommended solutions to the specific issue for which they were created. The ad hoc committees may be comprised of members of the CoC and outside individuals with expertise in the subject matter. The CoC committees and task forces may meet monthly or more frequently depending on the tasks to be accomplished.

The CoC works to ensure that all committee meetings are meaningful and action-oriented. To accomplish this:

- Each committee will have a clear purpose
- Each committee will develop an overall timeline for addressing the problem for which it was created
- Committee and Task Force Chairs and members will be prepared for meetings
- Length of meetings will be controlled by following as closely as possible an agenda that specifies time allotments for each topic to be covered
- To ensure that meetings result in action, at each meeting committee members will discuss next steps and assign responsibilities to members
- Complete and concise meeting minutes will be created and distributed
- Committee members will strive to complete their assignments within the allotted time frame
- The committee will periodically self-assess its performance

Continuum of Care Communication

Between CoC meetings, the CoC leaders will keep members involved by the following methods:

- Maintaining a directory of CoC members, as well as updating and distributing it regularly
- Establishing working groups to move the work of the CoC forward between meetings
- Encouraging partners with similar interests to join forces, either by sharing information/best practices or working on strategies to collaborate and support each other's efforts
- Sharing information regularly to maintain a focus on homelessness in general and the continuum in particular

Methods of sharing information between CoC meetings will include:

- Information sent out via email list
- Information added to the CoC website, including:
    - Information on the work of the continuum
    - Resources
    - Plans and implementation
    - Research and data
    - Funding availability

Collecting Needs Data and Inventorying System Capacity

Annually, the CoC should review the housing and services available to people experiencing homelessness within the community. The methods to undertake this review include:

- Homeless Counts
- Housing Inventory
- Services Inventory

The CoC should determine how to conduct the counts and inventories taking into consideration that these activities are also required by HUD. HUD's recommendations for conducting homeless counts and housing/services inventories are described below, and should serve as a guide to the CoC in determining the methods to adopt each year.

HOMELESS COUNTS

The Continuum of Care Application for McKinney-Vento homeless assistance funding requires CoCs to produce "statistically reliable, unduplicated counts or estimates of homeless persons in sheltered and unsheltered locations at a one-day point in time." CoCs are also asked to report the number of homeless persons in seven subpopulation categories:

- Chronically homeless
- Severely mentally ill
- Chronic substance abusers
- Veterans
- Persons with HIV/AIDS
- Victims of domestic violence
- Unaccompanied youth (under 18 years of age)

HUD encourages CoCs to base population and subpopulation estimates on local data stored in Homeless Management Information Systems (HMIS) and/or collected through shelter and street counts.

Aside from the HUD mandate to collect this information, there are many reasons why the CoC chooses to collect accurate, reliable data on our local homeless populations:

- To identify community-specific service needs and gaps
- To further understand the causes of homelessness and design more effective responses
- To use in planning and program development
- To raise public awareness of the challenges facing people experiencing homelessness
- To accurately measure and identify the needs of populations that are the hardest to serve

The CoC will coordinate a point-in-time count of sheltered and unsheltered homeless people in the last ten days of January (between January 22nd and 31st) at least once every two years (on odd-numbered years). If resources allow, the CoC will conduct this count annually.

Sheltered Homeless Count

The sheltered count is an inventory of people accessing shelter on a particular evening. It will include homeless people who are spending the night in:

- Emergency shelters
- Cold weather shelters
- Domestic violence shelters
- Residential programs for runaway/ homeless youth

- Transitional housing
- Hotel/motel/apartment voucher arrangements paid by a public/private agency because the person or family is homeless and
- Permanent supportive housing for homeless persons (Information on persons living in permanent supportive housing units will be used to determine the capacity rate of those programs; they will not be included in the total homeless count number)

The following information will be collected in the sheltered count:
- Number of households with dependent children (couples or single parents/guardians with children)
- Number of persons in households with dependent children (adults and children)
- Number of households without dependent children (households composed of individuals including unaccompanied youth, couples, and other adult-only households)
- Number of persons in households without dependent children (adults and unaccompanied youth)

The following populations will not be included in the count number reported to HUD:
- Persons who are living doubled up in conventional housing
- Formerly homeless persons who are residing in Section 8 SRO, Shelter Plus Care, SHP permanent housing or other permanent housing units
- Children or youth, who because of their own or a parent's homelessness or abandonment, now reside temporarily and for a short anticipated duration in hospitals, residential treatment facilities, emergency foster care, detention facilities and the like
- Adults living in mental health facilities, chemical dependency facilities, or criminal justice facilities

To collect Sheltered Count data, the CoC will:
- Extract the data from HMIS OR
- Use extrapolation techniques to estimate the number and characteristics of sheltered homeless persons from data gathered at most emergency shelters and transitional housing programs OR
- Send surveys to housing providers collecting the required data on the specified night of the sheltered count

If the CoC decides to survey housing providers to collect data, the CoC will:
- Provide written instructions to providers to explain the protocol for completing the sheltered point-in-time count
- Train providers on the protocol and data collection forms used to complete the sheltered point-in-time count
- Remind all agencies of the scheduled count and follow-up with providers to ensure the maximum possible response rate from all programs
- Use HMIS to verify data collected from providers for the sheltered count
- Use strategies to ensure that each sheltered and unsheltered homeless person was not counted more than once during the point in time count

Unsheltered Homeless Count

The unsheltered count is an inventory of people experiencing homelessness who are not accessing shelter either by choice or due to a lack of shelter bed availability. The count will include homeless people found in places not meant for human habitation, including streets, parks, alleys, parking ramps, parts of the highway system, transportation depots and other parts of transportation systems (e.g. subway tunnels, railroad cars), all-night commercial establishments (e.g. movie theaters, laundromats, restaurants), abandoned buildings, building roofs or stairwells, chicken coops and other farm outbuildings, caves, campgrounds, vehicles, and other similar places.

The following information will be collected in the unsheltered count:

- Number of households with dependent children (couples or single parents/guardians with children)
- Number of persons in households with dependent children (adults and children)
- Number of households without dependent children (households composed of individuals including unaccompanied youth, couples, and other adult-only households)
- Number of persons in households without dependent children (adults and unaccompanied youth)

To collect Unsheltered Homeless Count data, the CoC will chose one or a combination of the following methods:

- Conduct a public places count (a point-in-time count based on observation of unsheltered persons without interviews)
- Conduct a public places count with interviews (a point-in-time count combined with either interviewing all unsheltered homeless persons encountered during the public places count or a sample of these individuals.)
- Conduct a service-based count (interview people using non-shelter services, such as soup kitchens and drop-in centers, screen for homelessness, and count those that self-identify as unsheltered homeless persons; in order to obtain an unduplicated count, every person interviewed must be asked where they were sleeping on the night of the point-in-time count)
- Extract data from HMIS (use HMIS to collect, analyze or report data on unsheltered persons)

To ensure reliable data from the unsheltered count, the CoC will:

- Conduct trainings for point-in-time enumerators
- Use HMIS to check for duplicate entries or for some other purpose
- Use strategies to ensure that each unsheltered homeless person was not counted more than once during the point-in-time count

Subpopulations

The CoC will also coordinate a count of persons who fall into certain subpopulations, using data from a point-in-time count conducted during the last ten days of January (between January 22nd and 31st) at least once every two years (on odd-numbered years). If resources allow, the CoC will conduct this count annually.

Only adults will be included in the subpopulations count, except for the Unaccompanied Youth (those under age 18) category. Subpopulation data is required for sheltered persons and optional for unsheltered persons, with the exception of Chronic Homeless status.

Data collected for the subpopulation analysis includes:

- Chronic homeless status
    - Length of time the person has been homeless this time
    - How many times the person has been homeless in the past 3 years
    - Whether the person has a disability
- Disability status by category
    - Severe mental illness
    - Chronic substance abuse
    - HIV/AIDS
- Victim of domestic violence
- Veterans
- Unaccompanied youth (under 18)

To collect subpopulation data, the CoC will:

- Extract the data from HMIS OR
- Conduct interviews with a random or stratified sample of sheltered homeless adults and unaccompanied youth, extrapolating the results to the entire sheltered homeless population to provide statistically reliable subpopulation estimates for all sheltered persons OR
- Conduct interviews with every homeless person staying in an emergency shelter or transitional housing program on the night designated for the point-in-time count OR
- Ask providers to use individual client records (e.g., case management files) to provide the CoC with subpopulation data for each adult and unaccompanied youth living in a sheltered program on the night designated for the point-in-time count

If the CoC does not collect this information from HMIS, the CoC will:

- Provide written instructions to providers to explain the protocol for completing the subpopulations count
- Train providers on the protocol and data collection forms used to complete the subpopulations count
- Remind all agencies of the scheduled count and follow-up with providers to ensure the maximum possible response rate from all programs

Housing Inventory

Every year the CoC will collect data to complete a housing inventory. This inventory will occur at a single point-in-time in the last ten days in January. The date of the housing inventory will be the same date as the point-in-time sheltered and unsheltered count. If the CoC conducts the homeless count every-other year, the housing inventory must be conducted every year and will occur in the last ten days in January.

For each program that houses persons experiencing homelessness, the CoC will collect data on:

- The number of beds and units currently serving individuals and families
- The number of beds and units created in the past year ("new inventory")
- The number of beds and units that are fully funded but not yet serving homeless people ("under development")

Housing inventory data must be obtained from all emergency shelters, transitional housing, and permanent supportive housing programs in the CoC, including those programs that do not receive HUD funding. Data collected from permanent supportive housing programs will be focused only on the beds and units that are dedicated to housing persons who are formerly homeless. The number of vacant emergency shelter, transitional housing, and permanent supportive housing units must be collected for the unmet need determination.

To collect Housing Inventory data, the CoC will annually:

- Use HMIS data to complete the Housing Inventory Chart OR
- Conduct a housing inventory survey (via mail, fax, e-mail, web-based, phone or on-site) of homeless providers, which will include the previous year's Housing Inventory Chart and instruct providers to review and update housing inventory information on the specified night of the housing inventory

If the CoC decides to collect housing inventory information via a survey, the CoC will:

- Provide written instructions to all homeless providers on how to report an accurate bed inventory
- Systematically train provider-level staff on how to obtain an accurate bed inventory

- Include definitions of key terms used in the inventory chart, such as seasonal and overflow beds (these definitions can be found in the instructions accompanying the CoC Application); for projects serving both individuals and families, it may also be helpful to provide guidance on how to distinguish between family units, family beds, and individual beds
- Follow-up with providers (e.g., via telephone, email, or in-person) to ensure the maximum possible response rate and accuracy of the housing inventory information
- After receiving the inventory information, confirm the information with each provider to verify the accuracy of the data

Services Inventory

The CoC will collect information on the services available to homeless people. This service inventory will include:

- Prevention activities
  - Mortgage assistance
  - Rental assistance
  - Utilities assistance
  - Counseling/ Advocacy
  - Legal Assistance
- Outreach
  - Street Outreach
  - Mobile Clinic
  - Law Enforcement
- Supportive Services
  - Case Management
  - Life Skills
  - Alcohol and Drug Abuse
  - Mental Health Counseling
  - Healthcare
  - HIV/AIDS
  - Education
  - Employment
  - Childcare
  - Transportation

The CoC will collect this information by surveying homeless service providers. When possible, the CoC will send providers a chart listing the above services and the agencies that provide the services, and ask providers to update the chart.

Determining Unmet Need and
Prioritizing Gaps in the Continuum of Care Homeless System

Annually, the CoC should review the data collected as a result of the homeless counts and housing/services inventories, and determine what housing and services are needed given the homeless populations. The methods to undertake this review include:

- Determining Housing Needs
- Calculating Unmet Needs
- Prioritizing Gaps

There are many methods available to conduct these reviews. The CoC should determine how it will conduct these reviews guided by HUD's recommendations, which are described below.

Each year the CoC must tell HUD what housing for homeless people we need in our community, including the need of families and individuals for Emergency Shelter beds, Transitional Housing beds, and Permanent Supportive Housing beds. This information is also necessary for the long-term program and strategic planning that we do as a community.

HUD's standardized methodology for calculating unmet need uses point-in-time data and local provider expertise to calculate an initial estimate of unmet need. Because the estimates from the standardized methodology may not reflect all that is known about the homeless population in our community, the CoC will also convene key community stakeholders to discuss the initial estimates and determine if adjustments are necessary to reflect other local information.

Determining Housing Needs
Unmet need reflects the difference between a CoC's bed capacity and the number of homeless persons in the CoC at one point-in-time. Thus, most information for the unmet need calculation is collected as part of the point-in-time homeless count and housing inventory process, except the housing needs of the community. To determine the housing needs of homeless persons who are residing in emergency shelter, transitional housing, and persons who are unsheltered, the CoC will gather expert opinions of homeless assistance providers.

The CoC will obtain the housing needs of sheltered homeless persons by asking each emergency shelter and transitional housing provider listed in the Housing Inventory Charts to estimate the percentage of their clients that need emergency shelter, transitional housing, and permanent housing to ultimately resolve their homeless situation.

The CoC will obtain the housing needs of unsheltered homeless persons in one of two ways:

- Individually surveying outreach workers or teams, then averaging the estimated percentages, and applying the average to the total unsheltered population; or
- Convening a group of outreach workers to discuss and arrive at a consensus on the percentage of unsheltered persons in need of each type of housing

When determining housing needs, the CoC will remember that:

- Each person or family should be placed in the one program type that will best assist the household in resolving homelessness
- The calculation of unmet need for each program type (emergency shelter, transitional housing, or permanent supportive housing) should be done separately for unaccompanied individuals and persons in families with children; this is necessary to accurately reflect the bed capacity needs for each group

Calculating Unmet Need

The CoC will begin by using the following standardized formulas for calculating unmet need by program type (emergency shelter, transitional housing, and permanent supportive housing):

- Unmet need for Emergency Shelter (ES) = (The number of unsheltered homeless persons who need ES + the number of persons currently in ES who will only need ES) – (Total number of ES beds + ES beds under development)
- Unmet need for Transitional Housing (TH) = (The number of unsheltered homeless persons who need TH + the number of persons in ES who need TH + the number of persons in TH who will only need TH) - (Total number of TH beds + TH beds under development)
- Unmet need for Permanent Supportive Housing (PSH) = (The number of unsheltered homeless persons who need PSH + the number of persons in ES who need PSH + the number of persons in TH who need PSH) - (Total number of vacant PSH beds + PSH beds under development)

Adjusting Unmet Need for Local Realities

The CoC will convene local providers and other knowledgeable persons to discuss the initial unmet need calculations. The CoC may then adjust the unmet need numbers in the way that best represents the unmet need in our community. This discussion and unmet need adjustment may include:

- CoC stakeholders meeting and reviewing data to determine the CoC's unmet need
- The CoC applying results from local studies or other data sources to help determine unmet need
- The CoC using local point-in-time enumeration data and applying national or other local statistics to calculate unmet need
- The CoC using HMIS data (e.g., counts of homeless persons, analysis of subpopulation needs as compared with specialized program beds, or bed inventory) to calculate unmet need
- The CoC applying results from national studies or other national statistical information on homelessness to help determine unmet need

Prioritizing Gaps

In order to develop strategies to address the unmet needs identified above, the CoC will determine and prioritize gaps in the Continuum of Care.

Process for Determining Relative Priorities

Determining gaps and their relative priority are fundamental steps in the CoC strategic planning process. Decisions regarding the relative priority of gaps are the basis for developing strategies to deploy new resources or re-deploy existing resources to best assist people who are homeless to obtain and maintain permanent housing and self-sufficiency.

All CoC members (homeless providers and other stakeholders) will be invited to be involved in the decision-making to determine and prioritize gaps.

To determine and prioritize gaps, the CoC will hold an annual CoC "Prioritizing Unmet Needs" meeting, at which:

- All CoC members will be invited to participate
- Homeless count, housing and service inventories, and unmet need data will be presented
- CoC members will consider and discuss several criteria when prioritizing unmet needs, including:

  - Relative need among sub-populations
  - Vulnerability of sub-populations (because of age, diagnosis)
  - Groups not yet served versus those with some housing resources in place
  - Whether a certain need is growing and if so, how rapidly
  - Users of high-end services (e.g., hospitalization, detoxification)
  - Gaps in each major housing type (transitional, permanent supportive housing, and permanent housing)
  - Whether there are sufficient services to serve persons already in emergency shelter, transitional housing programs, or permanent housing
  - What services are missing to help people move to permanent housing or permanent supportive housing
  - What services are essential to certain subgroups, and whether they are missing
  - Are there major gaps in the homeless system or missing linkages among components of the system (i.e. outreach, intake, referral, assessment)
- After discussion, a list of housing, service and system gaps will be created
- CoC members will then vote to prioritize the gaps
- Each CoC member agency will have one vote and will choose their three priority gaps
- The gaps that receive the most votes shall be set as the highest priority
- Low priority does not mean that there is not an unmet need; rather, it means that relative to other unmet needs or gaps, it is less of a priority

Reviewing and Prioritizing Projects for Funding

Continuum of Care Homeless Assistance Grants are administered by HUD under the McKinney-Vento Homeless Assistance Act. Three programs are funded through the Continuum of Care Program grants:

Supportive Housing

The Supportive Housing Program is designed to support the development of supportive housing and services to assist homeless persons in the transition from homelessness and to enable them to live as independently as possible. Funds can be used to buy, construct, rehabilitate or lease permanent or transitional housing, and for operating costs and supportive services, such as job training, child care vouchers, health, mental health and addictive illness treatment.

Shelter Plus Care

Shelter Plus Care (S+C) is a program designed to provide housing through rental assistance and supportive services on a long-term basis for homeless persons with disabilities, primarily those with serious mental illness, chronic problems with alcohol and/or drugs, and acquired immunodeficiency syndrome (AIDS) or related diseases. For each dollar of rental assistance, the grantee must provide (match) the dollar value for services. The program allows for a variety of housing choices, and a range of supportive services, in response to the needs of the homeless population with disabilities.

Single Room Occupancy

The Single Room Occupancy (SRO) Program provides rental assistance for homeless persons in connection with the moderate rehabilitation (about $3,300 per unit) of SRO dwellings. SRO housing contains units for occupancy by one person, and these units may contain food preparation or sanitary facilities, or both.

General Procedure

HUD CoC Funds are granted based on a national competition following the Notice of Funding Availability (NOFA). Immediately when HUD's Continuum of Care NOFA is released, the CoC coordinates the following process:

- The HUD Application Committee considers community priorities, then designs and presents scoring tools and materials to the CoC for approval; the CoC considers and approves the scoring tools and materials.
    - Community priorities have already been discussed through the CoC strategic planning, needs assessment, and gaps analysis process (please see the Gaps Analysis/ Needs Assessment Policy for more details)
- Information regarding the NOFA and the community's process and requirements are disseminated to all CoC and other interested parties (all homeless service and housing providers in the continuum of care area) via the following open solicitation methods:
    - Letters/emails
    - Responses to public inquiries
    - Outreach to faith-based groups
    - Announcements at CoC meetings
    - Announcements at other meetings
    - Published in newspapers
- Any agency interested in applying for funds will be required to complete a Letter of Intent and must be submitted by the posted due date

- Applicants that submit a Letter of Intent will be required to attend a Bidders' Conference, and have approximately 2 -3 weeks to complete and submit their applications
- Applications and additional information is collected and reviewed according to procedures described below
- CoC staff determine that thresholds are met for applications
- A Rating & Ranking Committee is created according to procedures described below
- The Rating & Ranking Committee conducts an interview with each applicant where the committee will provide feedback on the application, ask questions for clarification purposes, and pinpoint any errors or omissions in the application
- Applicants are informed of their ranking and given an opportunity to improve their applications based on Rating & Ranking Committee feedback
- Final applications are collected and submitted to HUD

Funding Priorities and Local Need

Services and housing for homeless are needed in all aspects within our community, however, there are specific areas that are of greatest need and will be a funding priority for the CoC. Creating funding priorities is driven by the community's needs assessment and gaps analysis. All organizations in the CoC that participate in the gaps analysis process have a voice in determining the community's priorities for funding. Funding priorities are established through a fair and open process using objective criteria. (Please see the Gaps Analysis/ Needs Assessment Policy for more details.)

Through this gaps analysis process, the following areas have been identified as funding priorities:

- Permanent Supportive Housing serving all target populations
    - o In the event that the applications exceed the amount available, priority will be give for projects serving 1) chronically homeless, 2) individuals, and 3) families
- Renewals of successful operating projects are a priority to remain funded if the need for the project still exists in the community
    - o The CoC will review each project at the time it seeks renewal funding to determine if the project is performing satisfactorily and is meeting the needs of persons it proposed to serve or whether local needs have changed and other subpopulations or types of assistance should be given preference
- To maximize the funds available to new projects, renewal projects may apply for only one year of funding (if, after all projects have been submitted, the community has not requested the full amount available from HUD, renewal projects may be approved for multiple-year funding)
- Remaining funds (after the funding of successful one-year renewals) from the HUD designated Pro Rata amount for our CoC are available through the competitive application process

Bidders' Conference

A Bidders' Conference will be conducted for agencies interested in submitting applications. The Bidders' Conference will cover the following issues:

- Eligible activities
- Eligible persons to be served
- Amounts available
- Match requirements
- Advice on identifying leverage
- How to complete applications

- Submission format requirements
- Timelines and deadlines
- Local community process
- Appeal process

Procedures for Application Submissions

- Proposals must be submitted via e-snaps by the identified due date
- A PDF version of the application and all additional requested information must be emailed to the CoC consultant at betsymcgoo5@msn.com
- Proposals will be due by 5:00 pm on the due date
- Specifics regarding due dates, submission requirements, and proposal format will be distributed and reviewed at the Bidder's Conference

Late and Incomplete Applications Policy

- Late Letters of Intent will not be accepted
- Late Application: late applications received within 48 hours of the due date/time will receive a 15 point score reduction; late applications received after 48 hours will not be accepted
- Incomplete Applications: incomplete applications cannot be cured for Rating & Ranking Committee scoring, but must be corrected prior to HUD submission; the original application (not the copies) will be examined to determine if all pieces of the application have been submitted

Using All Available Funds

The CoC will do everything possible to ensure that all funds possibly available to the community are applied for. Thus, when all on-time applications have been submitted and it appears that either 1) the community is not requesting as much money as is available from HUD or 2) no Samaritan Housing Initiative projects have been submitted, then:

- The CoC staff will email all CoC and other interested parties (all homeless service and housing providers in the continuum of care area) with specifics regarding:
  - How much money is available
  - For what type of programs
- Any additional applications for these funds will be due one week after this email is distributed

Application Eligibility Threshold Review

Projects must pass a threshold review before being submitted to the Rating & Ranking Committee. A pre-designated representative of the CoC will complete the threshold review to verify the eligibility of:

- Applicant
- Project
- Activity
- Completeness of application

This review will take place prior to the applications submission to the Rating & Ranking Committee for reading and scoring. Proposals not completely meeting threshold review criteria will not be forwarded to the Rating & Ranking Committee for further consideration. Proposals completely meeting eligibility threshold review criteria will be submitted to the Rating & Ranking Committee and will be scored according to the scoring criteria.

Rating & Ranking Committee Policies

Eligible proposals will be prioritized for inclusion in CoC's coordinated application by the Rating & Ranking Committee. Applications not scoring high enough will not be placed on the project funding request in Exhibit 1.

Goals for each application cycle will be based on specific evaluation criteria, and the HUD Committee will establish minimum requirements in order to maximize competitiveness of the Continuum's application. Examples of these application minimums include, but are not limited to, housing/service funding ration requested and amount of leverage.

Scoring tools are created by the HUD Application Committee and approved by the Executive Committee of the CoC. Using these scoring tools, the Rating & Ranking Committee will review the following objective rating measures to assess the performance of projects seeking funding:

- CoC monitoring findings
- HUD monitoring findings
- Independent audits
- HUD APRs for performance results
- Unexecuted grants
- Site visits
- Surveys of program clients
- Project readiness
- Expenditure of grant funds (fast or slow)
- Cost effectiveness of the project
- Provider organization experience
- Provider organization capacity
- Project presentation
- CoC membership involvement
- HMIS participation involvement
- Match funds committed to project
- Leverage letters committed to project
- Percentage of housing funds requested
- Other priorities, to be determined by the CoC (based on NOFA priorities)

The CoC recruits Rating & Ranking Committee members who are knowledgeable about homelessness and housing in the area and who are broadly representative of the relevant sectors, subpopulations, and geographic areas. The Rating & Ranking Committee will be composed of representatives from a cross-section of groups which might include: Faith-based and non-profit providers of homeless services and housing; housing developers; city representatives; Kings and Tulare Counties employees; mental health; substance abuse; veteran's services; and consumers.

- Rating & Ranking Committee members must sign a statement declaring that they have no conflict of interest and a confidentiality agreement
- Members must be appointed every year, their eligibility verified, and approved by the Executive Committee
- Members must be able to dedicate time for application review and committee meetings as directed by the Executive Committee or their designee
- Rating & Ranking Committee members (3-5) are trained. The Rating & Ranking Committee Training includes:

- Information regarding homeless activities, needs, services, definitions and other issues that are pertinent to the CoC
    - A background of McKinney Vento and the local process
    - The role of the Rating & Ranking Committee
    - Review of the scoring tools, applications, and resources
- Rating & Ranking Committee members receive eligible applications and scoring materials
- All Rating & Ranking Committee members review all applications over a one-week period
- Rating & Ranking Committee meets to review and discuss each application together and to individually score them; the CoC HUD consultant is present at the Panel meeting to record decisions of the Panel and any comments/ recommendations they have for applicants
    - The Rating & Ranking Committee meeting includes a 15-minute interview with each project applicant
    - After applicants leave, the Panel discusses the merits of each proposal, scores the applications, and turns in score sheets to the consultant
    - Overall raw scores are calculated by the consultant
    - The Committee considers adjustments for such issues HUD incentives or requirements
    - The Committee considers proposal changes or project budget adjustments that may be required to meet community needs
    - The Committee determines the rank and funding levels of all projects considering all available information
    - During deliberation, the CoC consultant will provide technical assistance by responding to questions of the Panelists, correcting technical inaccuracies if they arise in conversation, and reminding the Panelists of their responsibilities if they step outside their purview
- Scoring results are delivered to applicants with a reminder about the appellate process.
    - Applications which do not meet the threshold requirements will not be included in the Priority List in Exhibit 1, and therefore will not be forwarded to HUD for consideration
    - If more applications are submitted than the CoC has money to fund, the lowest-scoring applications will not be included in the Priority List in Exhibit 1, and therefore will not be forwarded to HUD for consideration

Policy for Appeals of Rating/Ranking

Eligible Appeals

- The application of any applicant agency which a) is unranked, or b) receives less funding than they applied for may appeal
- Applicants that have been found not to meet the threshold requirements are not eligible for an appeal
- Appeals cannot be based upon the judgment of the Rating & Ranking Committee

Applicants may appeal if they can:

- Prove their score is not reflective of the application information provided; or
- Describe bias or unfairness in the process, which warrants the appeal

All notices of appeal must be based on the information submitted by the application due date. No new or additional information will be considered. Omissions to the application cannot be appealed.

The decision of the Appeal Committee will be final.

The Appeal Committee

- The Appeal Committee will be made up of four (4) members of the Continuum of Care: 3 members are Appeal Committee voting members and one is a non-voting member
- The three voting members will not have participated on the original Rating & Ranking Committee
- The one non-voting member must be a member of the original Rating & Ranking Committee
- No member of the Appeal Committee may have a conflict of interest with <u>any</u> of the agencies applying for McKinney funding and must sign a conflict of interest statement
- The role of the Appeal Committee is to read and review only those areas of the application that are being appealed

The Appeal Process

- Any and all appeals must be received in writing within three (3) business days of the notification of ranking to projects
- All notices of appeal (one original and four copies) must be submitted to:

  Betsy McGovern-Garcia
  President, Kings/Tulare Continuum of Care
  411 E. Kern Avenue
  Tulare, CA 93274
- The notice of appeal must include a written statement specifying in detail the grounds asserted for the appeal, must be signed by an individual authorized to represent the sponsor agency (i.e., Executive Director)
- The notice of appeal is limited to one single spaced page in 12-point font
- The appeal must include a copy of the application and all accompanying materials submitted to the Rating & Ranking Committee; no additional information can be submitted
- All valid appeals will be read, reviewed and evaluated by the Appeal Committee
- The Appeal Committee will meet to deliberate.
  - All applicants will be invited to attend any appeal and may make a 10-minute statement regarding the appeal
  - The panel will review the rankings made by the Rating & Ranking Committee only on the basis of the submitted project application, the one page appeal, any statements made during the appeal process, and the material used by the Rating & Ranking Committee; no new information can be submitted by the applicant or reviewed by the Appeal Committee
  - The decision of the appellate panel must be supported by a simple majority vote
- The appealing agency will receive, in writing, the decision of the Appeal Committee within 2 business days of the Appeal Committee Meeting; the decision of the Appeal Committee will be final

Grantee Drops Out

If, after the Rating & Ranking Committee has reviewed applications and made priority determinations, an applicant decides not to submit their application to HUD, the CoC will do everything possible to ensure that all funds possibly available to the community are applied for.

- The CoC consultant will email all CoC and other interested parties (all homeless service and housing providers in the continuum of care area) with specifics regarding:
  - How much money is available
  - For what type of programs
- Any additional applications for these funds will be due one week after this email is distributed

- The Rating & Ranking Committee will review applications that are submitted and will meet, either in-person or via conference call, to score and rank these applications

Final Prioritized List of Applications

The final prioritized list of proposals must be approved by the Board of Directors of the CoC. Any board members with a conflict of interest (e.g. employed by an applicant agency) must abstain from the vote approving the priority list. This list will be forwarded to HUD; individual applications and supporting documentation, signature pages, and required attachments must be incorporated into the final Exhibit 1 of the Continuum of Care application. Funding is typically based upon the prioritized list of applicants who were submitted, however, actual awards/award amounts are determined by HUD.

If there is not a quorum in the Board of Directors due to abstentions, the final approval will be turned over to the general membership of the CoC. This vote can either take place at a regularly scheduled membership meeting if time permits, or can take place online.

Homeless Management Information System

The primary purpose of a Homeless Management Information System (HMIS) is to aggregate data on homelessness at local and national levels to accurately describe the scope of homelessness and the effectiveness of efforts to ameliorate it. Beyond data collection, HMIS provides significant opportunities to improve access to and delivery of services for people experiencing homelessness and to strengthen community planning and resource allocation.

Participation

All ESG and HUD Continuum of Care funded agencies must participate in HMIS. Non-ESG and HUD Continuum of Care funded agencies are encouraged to participate in HMIS in the following order:

1) Providers of emergency shelter, transitional housing, and homeless outreach services, regardless of whether they receive funding through the McKinney-Vento Act
2) Providers of permanent supportive housing funded by other HUD programs (HOPWA, CDBG, and HOME)
3) Homelessness prevention programs, supportive services only programs, and non-federally funded permanent housing programs.

The CoC will encourage all providers to include all of their homeless-dedicated beds in HMIS. The CoC will work to ensure at least 65% bed coverage for emergency shelter, transitional housing, and permanent supportive housing. The CoC will review and assess its HMIS bed coverage annually.

Role of the CoC

The HMIS Committee will create and update separate HMIS Policies and Procedures, which will include the following policies:

- HMIS access, use, and data dissemination
- Agency participation requirements
- Ensuring security and confidentiality of information within the system
- Ensuring that only trained, designated staff have access to the data
- Monitoring security and confidentiality requirements for participating agencies
- Reviewing the quality of client-level and program-level data
- Assessing compliance with HMIS Data and Technical Standards
- Conducting trainings on privacy/ethics, data security, data quality, and HMIS software
- Developing streamlined, user-friendly means for collecting and inputting data
- Conducting trainings to help agencies implement HMIS policies

The HMIS Committee will also provide ongoing outreach to agency and community leadership to cultivate and maintain support and understanding of the HMIS initiative.

Use of HMIS

The HMIS must:

- Collect unduplicated counts of individuals and families experiencing homelessness
- Analyze patterns of use of applicable assistance provided for the Continuum of Care
- Provide information to project sponsors and applicants for needs analyses and funding priorities
- Be developed in accordance with standards established by HUD, including standards that provide for—

  - Encryption of data collected for purposes of HMIS
  - Documentation, including keeping an accurate accounting, proper usage, and disclosure, of HMIS data
  - Access to HMIS data by staff, contractors, law enforcement, and academic researchers
  - Rights of persons receiving services under HUD Homeless Assistance Grant-funded programs
  - Criminal and civil penalties for unlawful disclosure of data
  - Such other standards as may be determined necessary by HUD

Role of HMIS Administrator

The HMIS Administrator is responsible for the following:

- Providing operation, security, maintenance, system auditing, and technical support of HMIS central hardware, software, and connectivity
- Setting up and managing user accounts, access levels, and passwords
- Providing technical and user support for HMIS software, including agency account set-up, system monitoring and testing, problem diagnosis and resolution, and routine software and information maintenance
- Providing and coordinating ongoing training and technical support for the system
- Coordinating regular end-user meetings to discuss software updates, data entry, report writing, and system management issues
- Serving as initial point of contact for end-user questions and concerns
- Assessing compliance with the HMIS Policies and Procedures
- Maintaining contact with the software product developer to ensure consistent and uniform communication among product support personnel and the community
- Generating information on the community's homeless and housing situation for community planning, advocacy, and funder reporting requirements
- Assisting end users in the creation of custom reports and queries
- Monitoring and approving the dissemination of data collected through the HMIS
- Providing regular aggregate data reports to agencies and the greater community

HUD Application Reporting Requirements: Annual Performance Reports

Annual Performance Reports (APRs), formerly called Annual Progress Reports, are required by HUD on an annual basis to track the progress and accomplishments of HUD's Continuum of Care Homeless Assistance Programs. The APR gathers information on how programs assist homeless persons to obtain and remain in permanent housing, increase skills and income, and attain greater self-determination. This information is used by HUD and Congress to assess outcomes from federal funding. The APR is also useful to the CoC, grantees, and sponsors as a planning and management tool to analyze client demographics and service needs; to evaluate project outcomes; to make improvements; and to set future goals for their projects.

1. Grantees and sponsors receiving HUD Continuum of Care Homeless Assistance funding must report their annual progress to HUD through an Annual Performance Report (APR) submitted for each year in which HUD funding is provided.
    - A separate APR must be submitted for each HUD grant received
    - If a project extension is received for a partial year, then an APR must be submitted for the operating year and another APR submitted for the extension period
    - For grants being transferred, the exiting grantee must complete an APR as of the time of transfer

2. Information must be collected and maintained on each participant in the HUD-funded project for the APR. If the project serves more people than those served with the HUD funds, the APR should only include data on those served with the HUD funds.
    - Standard client data collection tools should be used to collect the information for the APR, such as the HUD-developed optional worksheets attached to the APR form or a locally-developed data collection tool (ideally, information should be collected through the HMIS; however, data can be collected manually or through an alternative computerized system)
    - Data collection and retention responsibilities should be clearly assigned and included in employee job descriptions, or in Memoranda Of Understanding with other agencies, if they are responsible for collecting the data
    - All staff providing services to clients should be trained in how to accurately use the data collection forms
    - Data must be turned in to the Continuum of Care's HMIS on a periodic basis

3. Grantees and sponsors must respond to all questions in the APR unless a written agreement has been reached with the HUD Field Office identifying questions which can be answered using estimates or skipped. SSO, Safe Haven, Outreach, Hotline, HMIS, Projects Providing Services to Children Only, and Short-Duration Service Projects (eg. transportation, medical and dental services) should review APR instructions for special guidance before completing the APR.

4. Information to be collected for the APR includes:
    - General project information, including the dates of the operating year and the program type and component
    - Client information, including household type, demographic and special needs information, prior living situation, income, length of stay in the project, supportive services received while in the project, reason for leaving the project and destination upon leaving the project
    - Progress in achieving program goals
    - Financial information, including match and project expenditures for the operating year
        - Grantees and sponsors must track and keep records documenting the match received and utilized

- A Cash Match Documentation file should be kept for each project, including grantee cash expended, matching funds committed in the technical submission and actual match amounts received
- For Supportive Housing Program grant recipients, cash match tracking must be kept by source and by use and activity (e.g. match received and expended on housing operations should be tracked separately from match received and expended on supportive services)
- For Shelter Plus care grants, a standard data collection tool should be developed for collecting service match information from supportive services providers about the supportive services they have provided; data should be collected at regular intervals

5. Files for each project's APR must be maintained, including at a minimum:
   - The client and financial information used to complete the APR
   - Grantee name and contact information
   - Project sponsor name and contact information
   - Operating start date
   - Date of reminder notice
   - APR due date
   - Date of overdue notice, if applicable
   - Date received
   - Dates of any interim correspondence regarding requests for additional information, if applicable
   - Date of approval letter
   - Date APR was submitted to local HUD office

6. The APR must be submitted within 90 days after the end of each operating year. Two copies must be submitted: one to the CPD Division Director in the local HUD Field Office responsible for managing the grant and one to the APR Data Editor in the Office of Special Needs Assistance Programs at the HUD Office in Washington, DC.
   - The due date for the APR should be part of the grantee/sponsor's master calendar for tracking grant compliance activities

7. Projects should use the APR data collected to evaluate and improve the project, for needs assessment, trend analysis and future planning.

Annual Homeless Assessment Report (AHAR)

The Annual Homeless Assessment Report (AHAR) is a report by HUD to the U.S. Congress on the extent and nature of homelessness in America. It is based on data from Homeless Management Information Systems and on information from Continuum of Care (CoC) Exhibit 1s. The AHAR provides estimates of the number of homeless persons nationally, a descriptive profile of homeless persons, and an analysis of service use patterns. For CoC's gathering and submitting this data to HUD, the local AHAR report provides useful information on homelessness and service needs at the local level.

The lead agency for the CoC is responsible for completing the local AHAR. Client level data for the AHAR will be collected through the Homeless Management Information System (HMIS) based on HUD's universal data elements which all communities receiving HUD Homeless Assistance funding are required to collect and maintain and which are the same data elements used to generate HUD's Annual Performance Reports (APRs).

- Unduplicated data will be collected for the four standard AHAR reporting categories: Emergency Shelter-Individuals, Emergency Shelter-Families, Transitional Housing-Individuals and Transitional Housing-Families. Data will also be collected for any supplemental reporting categories established by HUD.
- In order to participate in the AHAR, the CoC's HMIS must be capable of:
    - Producing a one day point-in-time count, average day count, and longitudinal counts.
    - Identifying clients with multiple program use—e.g., how many people in ES-IND were also served in TH-IND.
    - Counting persons by household type—e.g., individual adult male, adult in household with children, or unaccompanied youth.
    - Generating frequencies by basic demographic characteristics.
    - Cross-tabulating total length of stays within each program-household type, by gender and age.
    - Totaling the number of households with children by program type.

All agencies receiving HEARTH or HPRP funding will submit on monthly basis information to the HMIS on each client served, including data needed for the AHAR report.

The CoC has established continuum-wide data quality control procedures to ensure the accuracy and completeness of AHAR data collected and reported. These procedures address data collection as well as running of reports, data review, and obtaining feedback on the data.

The AHAR data review will address at a minimum the following three areas. In areas where problems are identified, concrete steps to address the problem will be identified and carried out.

- HMIS bed coverage (total # of beds in HMIS divided by # of beds in the CoC) must be at least 50% in one or more of the reporting categories. If bed coverage is lower, the CoC will work to increase provider participation.
- Bed utilization data (# of people served on a given night divided by the # of available beds that same night) must be based on accurate entry and exit dates for clients. For utilization rates below 60% or above 105%, the CoC will contact the provider and review raw data.
- Data completeness as evidenced by a low rate of missing data across all questions. If the percentage of missing data is high, the CoC will contact providers to identify and address problems.

The AHAR data will also be reviewed to identify:

- CoC, program or user level problems
- Client level problems records

- Anomalies between data collected between similar programs
- Anomalies between data collected in recent period vs. previous ones
- Other discrepancies

The CoC will work with participating providers regarding the AHAR data collected to confirm accuracy of information collected.

The CoC will provide quarterly HMIS trainings on data collection and quality for front-line staff who are engaged in data entry activities.

On an annual basis (according to HUD's designated data collection schedule), the CoC will de-duplicate and aggregate the client information collected to produce and submit a local AHAR data report using a standardized template.

- The AHAR data collection period is October 1st to September 30th of each year.
- The CoC will submit the aggregated local AHAR report electronically through the AHAR Exchange to the HUD-designated private research firm, responsible for compiling the national AHAR.
- A draft AHAR report will be submitted by the HUD-designated date.
- The CoC will work with the AHAR Research team to correct any data problems, and submit a final AHAR report by the HUD-designated date.

HUD Application Reporting Requirements: Logic Models

Logic Models are performance measurement tools that show the relationship between the problem or need, activities undertaken to address the need, and the results or outcomes achieved. HUD requires a logic model for each project submitted as part of the Continuum of Care Homeless Assistance Grant Application. HUD uses the Logic Model to assess grantee performance in meeting the overall goal of the homeless assistance grant under which they were funded as well as their performance in achieving their particular anticipated project outcomes. In addition, grantees and sponsors should use the Logic Model to support their own project planning, monitoring and evaluation.

1. Grantees and sponsors receiving HUD Continuum of Care Homeless Assistance funding, including the Supportive Housing Program, Shelter Plus Care Program, and Section 8 SRO Moderate Rehabilitation Program, must report their annual progress to HUD by completing their HUD-approved Logic Model.

   Grantees and sponsors must provide information about the outputs and outcomes achieved by their project. They must evaluate this information making comparisons between the projected outputs and outcomes and the actual numbers achieved; they must document and explain deviations from the projections and analyze the data to determine which outputs produce which outcomes and which are most effective.

   Grantees and sponsors must respond to the Program Management Evaluation Questions contained in the Logic Model and use them to self-evaluate the management and the performance of their project.

2. Two copies of the competed Logic Model APR must be submitted: one to the CPD Division Director in the local HUD Field Office responsible for managing the grant and one to the APR Data Editor in the Office of Special Needs Assistance Programs at the HUD Office in Washington, DC.

Appendix I: Membership Committee Tools

When the Membership Committee meets with potential new members, the committee will work to explain clearly how working together will be mutually beneficial. The attached membership outreach tools provide a general framework that the Membership Committee will tailor to meet the specific outreach needs of the community. The Membership Committee can use these tools to guide their face-to-face discussions with potential new members. In approaching the potential new partners, the Membership Committee will be clear about the CoC's mission and purpose and will be as specific as possible in describing what the CoC is asking of the prospective stakeholder. Working through these details before meeting with stakeholders can help the Membership Committee define the purpose and benefits of its collaborations.

This set of tools is designed for use with professionals from various mainstream service systems. While by no means a comprehensive list, the attachments include examples for possible use in reaching out to the public mental health system, to organizations supported by the Department of Veterans Affairs, and to law enforcement agencies.

Benefits to and Roles of Participating Agency

[Name of Public Mental Health Organization]

Description of the Local Situation
This introduction should provide a clear explanation of the scope and main issues pertaining to homelessness in the community as it relates to the mental health system. Whenever possible, the description should include specific statistics, such as the number of mentally ill who are homeless.

How will [organization's name]'s participation in the CoC benefit the public mental health system?

- Access to more housing resources for people with serious mental illnesses who are homeless
- Establish partnerships with other providers in the community
- Improve discharge planning from mental health institutions so that individuals exiting an institution obtain assistance in employment, housing, and health care
- Prevent homelessness of individuals exiting mental health institutions

How will the CoC benefit from [organization's name]'s help?

- Streamline access for homeless clients with mental illness into the mental health service system
- Improve knowledge of mental health field, such as the provision of support services to people with serious mental illnesses
- Obtain access to highly trained staff of mental health professionals to work with homeless
- Identify alternative funding sources for mental health services; ideally, this "new" stream of funding can replace HUD funds currently spent on mental health service and can be reallocate to fund housing

What will [organization's name] need to do?

- Attend monthly planning meetings for the CoC
- Help to organize and participate in a subcommittee that addresses persons with mental illness among the homeless population and the discharge planning efforts of mental health agencies
- Provide training to homeless assistance staff on mental health resources available and how to access those resources for homeless clients
- Participate in training offered by homeless assistance staff and housing agency staff on housing resources available in the community

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Benefits to and Roles of Participating Agency

[Name of Organization Supported by VA]

Description of the Local Situation
This introduction should provide a clear explanation of the scope and main issues pertaining to homelessness in the community as it relates to the organization supported by the Department of Veterans Affairs. Whenever possible, the description should include specific statistics, such as the number of veterans who are homeless.

How will [organization's name]'s participation benefit veterans?

- Better advocacy within the CoC for veterans' needs, share information on services and resources available through homeless veterans' organizations, and learn about other available resources in the community
- Access more housing resources for veterans who are homeless

- Establish partnerships with other providers in the community to expand resources available to veterans
- Ensure that veterans remain a focus for the CoC

How will the CoC benefit from [organization's name]'s help?

- Obtain more information about the size of the homeless veteran population as well as the special services that homeless veterans require
- Identify alternative funding sources for veteran services that HUD currently funds in order to reallocate more HUD funding towards housing
- Improve understanding of and access to the services that the Department of Veterans Affairs (VA) provides for homeless veterans

What will [organization's name] need to do?

- Attend monthly planning meetings for coalition
- Participate in a subcommittee that focuses on the needs of homeless sub-populations, including the homeless veteran population

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Benefits to and Roles of Participating Agency

[Name of Law Enforcement Representation]

Description of the Local Situation
This introduction should provide a clear explanation of the scope and issues pertaining to homelessness in the community as it relates to law enforcement. Whenever possible, the description should include specific statistics, such as the number of people discharged from jail/prison who become homeless and crime rate statistics among people who are homeless.

How will [organization's name]'s participation benefit law enforcement?

- Reduce staff time spent dealing with chronically homeless persons
- Reduce recidivism by improving access to employment, housing, and health care resources for individuals as they are discharged from jail/prison
- Reduce crime rates among individuals who are chronically homeless

How will the CoC benefit from [organization's name]'s help?

- Reduce the number of people who become homeless when they are discharged from jail/prison
- Improve outreach efforts to chronically homeless persons

What will [organization's name] need to do?

- Participate in committee meetings concerning jail/prison discharge policy
- Help prepare crime statistics and percentage of homeless population that are ex-offenders
- Help outreach teams locate homeless persons living on the streets or in other places unfit for human habitation

Appendix II: Rating & Ranking Committee Conflict of Interest Statement

Definition of Conflict of Interest

No person with a "conflict of interest" may serve on the Rating & Ranking Committee.

A conflict of interest exists if:

1) You are now, or within the last year have been, or have a current agreement to serve in the future as, a Board member, staff member or paid consultant of an organization making a proposal for funding; or

2) Your employer or an organization on whose Board of Directors you sit, now has, or within the last year has had, a contractual relationship with an organization making a proposal for funding. However, under this second definition of "conflict of interest," no conflict exists if your employer, or the organization on whose Board of Directors you sit, is a funding entity or organization whose mission includes providing services and/or funding to other service providers; or

3) Any other circumstance exists which impedes your ability to objectively, fairly and impartially review and rank the proposals for funding.

Acknowledgement

I have read and understand the definition of "Conflict of Interest." No conflict of interest prohibits me from serving on the Rating & Ranking Committee. Should I later become aware of a conflict of interest, I immediately will resign from the Rating & Ranking Committee.

______________________________ ______________________

Signature Date

Appendix III: 2011 HUD Funding Priorities

To be inserted.

Appendix IV: Payment Authorization Request Form

See attached.

Kings/Tulare Continuum of Care on Homelessness
PAYMENT AUTHORIZATION REQUEST FORM

Date ________________

Name of Person Requesting Check/Expenditure: _______________________________________

Phone: ____

KTCoC Position _______________________ City/Zip _____________________________

Event or Assignment ____

Date of Event _______________________ Amount Requested $__________________

Item(s) Requested __________________________ _____________________________________

☐ Invoice attached ☐ Receipt attached

Was this expense approved in the budget? ☐ Yes ☐ No

If yes, which Budget Category? ______________________*(Ex. Visalia PHC, HMIS Coordinator, etc.)*

Account #: ____

Write Check To: Name of Person/Company ____

Address ____
City Zip Phone

Mail Check to address above? ☐ Yes ☐ No

If no, return check to: Name: ___________________ Address: _______________Phone:________

Is this a new vendor? ☐ Yes ☐ No ***If yes, please attached a completed W-9 Form.***

Approved by:

_________________________________ _______________________

President's or Vice-President's Signature Date

For CoC use:

☐ Membership-approved activity
☐ Executive Board-approved expenditure

Budget Category	Check Number	Amount

Appendix V: Deposit Request Form

See attached.

Kings Tulare Continuum of Care on Homelessness

DEPOSIT REQUEST FORM

Date ______________

Name of Person Requesting Deposit: ______________________________ Phone: ______________

KTCoC Position ______________________ City/Zip ______________________________

Check/Donation From:	**Amount of Check:**	**Budget Category?** *(Ex. PHC Visalia, HMIS Coordinador))*	**Account #:**	**Check**
Name______________	$__________	__________	__________	______
Name______________	$__________	__________	__________	______
Name______________	$__________	__________	__________	______
Name______________	$__________	__________	__________	______
Name______________	$__________	__________	__________	______

Reviewed and Entered into QuickBooks by:

______________________________ ______________________________

Name Date

For CoC use: **Deposited on:** ______________

Budget Category	Check Number	Amount

Revised 8/12/11

Appendix VI: Chart of Accounts

Kings/Tulare Continuum of Care on Homelessness
Account Listing August 1, 2011

Account Type

10100 · Bank of the Sierra Bank
11000 · Accounts Receivable Accounts Receivable
12000 · Undeposited Funds Other Current Asset
30001 · Temporary Restricted Net Assets Other Asset
30030 · Restricted - Visalia PHC Other Asset
30040 · Restricted - Porterville PHC Other Asset
30050 · Restricted - Hanford PHC Other Asset
30060 · Restricted - Tulare PHC Other Asset
20000 · Accounts Payable Accounts Payable
30005 · Net Assets Equity
30010 · Temp Rest Net Asset-10 Yr Plan Equity
30020 · Net Assets - Operating Reserves Equity
40300 · Membership Fees Income
40350 · DLB Admin Fees Income
40400 · HPRP Subcontract - Tulare Income
40500 · HPRP Subcontract - Kings Income
40600 · HUD HMIS Subcontract Income
40700 · Grants Income
40800 · Fundraising Income
40910 · PHC Income - CoC Income
40920 · PHC Income - Hanford Income
40930 · PHC Income - Porterville Income
40940 · PHC Income - Visalia Income
40950 · PHC Income - Tulare Income
41000 · Other Income Income
42000 · Jurisdictional Support Income
42100 · City of Hanford Income
42400 · City of Visalia Income
60100 · HMIS Coordinator Expense
60110 · HPRP Coordinator - Kings Expense
60120 · HPRP Coordinator - Tulare Expense
60130 · CoC Program Manager Expense
60200 · Exhibit 1 Consultant Expense
60400 · Advertising Expense
60500 · Bank Service Fees Expense
60600 · Meeting Expense Expense
60700 · Postage Expense
60800 · Printing/Reproduction Expense
61000 · Office Supplies Expense
61100 · Travel/Per Diem Expense
62010 · PHC Expense - CoC Expense
62020 · PHC Expense - Hanford Expense
62030 · PHC Expense - Porterville Expense
62040 · PHC Expense - Visalia Expense
62050 · PHC Expense - Tulare Expense
62500 · Point in Time Expense
64000 · PO Box Fee Expense
64100 · Legal Expense
64200 · Insurance Expense
64500 · 10 Year Plan Exp Expense
64600 · Fiscal Services Expense
64700 · Training/Capacity Building

Appendix VII: W-9 Form

See attached.

Form **W-9**
(Rev. January 2011)
Department of the Treasury
Internal Revenue Service

Request for Taxpayer Identification Number and Certification

Give Form to the requester. Do not send to the IRS.

Print or type
See **Specific Instructions** on page 2.

Name (as shown on your income tax return)

Business name/disregarded entity name, if different from above

Check appropriate box for federal tax classification (required): ☐ Individual/sole proprietor ☐ C Corporation ☐ S Corporation ☐ Partnership ☐ Trust/estate

☐ Limited liability company. Enter the tax classification (C=C corporation, S=S corporation, P=partnership) ▶ ____________

☐ Exempt payee

☐ Other (see instructions) ▶

Address (number, street, and apt. or suite no.)

Requester's name and address (optional)

City, state, and ZIP code

List account number(s) here (optional)

Part I Taxpayer Identification Number (TIN)

Enter your TIN in the appropriate box. The TIN provided must match the name given on the "Name" line to avoid backup withholding. For individuals, this is your social security number (SSN). However, for a resident alien, sole proprietor, or disregarded entity, see the Part I instructions on page 3. For other entities, it is your employer identification number (EIN). If you do not have a number, see *How to get a TIN* on page 3.

Note. If the account is in more than one name, see the chart on page 4 for guidelines on whose number to enter.

Social security number
☐☐☐ – ☐☐ – ☐☐☐☐

Employer identification number
☐☐ – ☐☐☐☐☐☐☐

Part II Certification

Under penalties of perjury, I certify that:

1. The number shown on this form is my correct taxpayer identification number (or I am waiting for a number to be issued to me), and
2. I am not subject to backup withholding because: (a) I am exempt from backup withholding, or (b) I have not been notified by the Internal Revenue Service (IRS) that I am subject to backup withholding as a result of a failure to report all interest or dividends, or (c) the IRS has notified me that I am no longer subject to backup withholding, and
3. I am a U.S. citizen or other U.S. person (defined below).

Certification instructions. You must cross out item 2 above if you have been notified by the IRS that you are currently subject to backup withholding because you have failed to report all interest and dividends on your tax return. For real estate transactions, item 2 does not apply. For mortgage interest paid, acquisition or abandonment of secured property, cancellation of debt, contributions to an individual retirement arrangement (IRA), and generally, payments other than interest and dividends, you are not required to sign the certification, but you must provide your correct TIN. See the instructions on page 4.

Sign Here **Signature of U.S. person ▶** **Date ▶**

General Instructions

Section references are to the Internal Revenue Code unless otherwise noted.

Purpose of Form

A person who is required to file an information return with the IRS must obtain your correct taxpayer identification number (TIN) to report, for example, income paid to you, real estate transactions, mortgage interest you paid, acquisition or abandonment of secured property, cancellation of debt, or contributions you made to an IRA.

Use Form W-9 only if you are a U.S. person (including a resident alien), to provide your correct TIN to the person requesting it (the requester) and, when applicable, to:

1. Certify that the TIN you are giving is correct (or you are waiting for a number to be issued),

2. Certify that you are not subject to backup withholding, or

3. Claim exemption from backup withholding if you are a U.S. exempt payee. If applicable, you are also certifying that as a U.S. person, your allocable share of any partnership income from a U.S. trade or business is not subject to the withholding tax on foreign partners' share of effectively connected income.

Note. If a requester gives you a form other than Form W-9 to request your TIN, you must use the requester's form if it is substantially similar to this Form W-9.

Definition of a U.S. person. For federal tax purposes, you are considered a U.S. person if you are:

- An individual who is a U.S. citizen or U.S. resident alien,
- A partnership, corporation, company, or association created or organized in the United States or under the laws of the United States,
- An estate (other than a foreign estate), or
- A domestic trust (as defined in Regulations section 301.7701-7).

Special rules for partnerships. Partnerships that conduct a trade or business in the United States are generally required to pay a withholding tax on any foreign partners' share of income from such business. Further, in certain cases where a Form W-9 has not been received, a partnership is required to presume that a partner is a foreign person, and pay the withholding tax. Therefore, if you are a U.S. person that is a partner in a partnership conducting a trade or business in the United States, provide Form W-9 to the partnership to establish your U.S. status and avoid withholding on your share of partnership income.

Cat. No. 10231X Form **W-9** (Rev. 1-2011)