

# Oregon Eviction Diversion & Prevention Program (ORE-DAP)

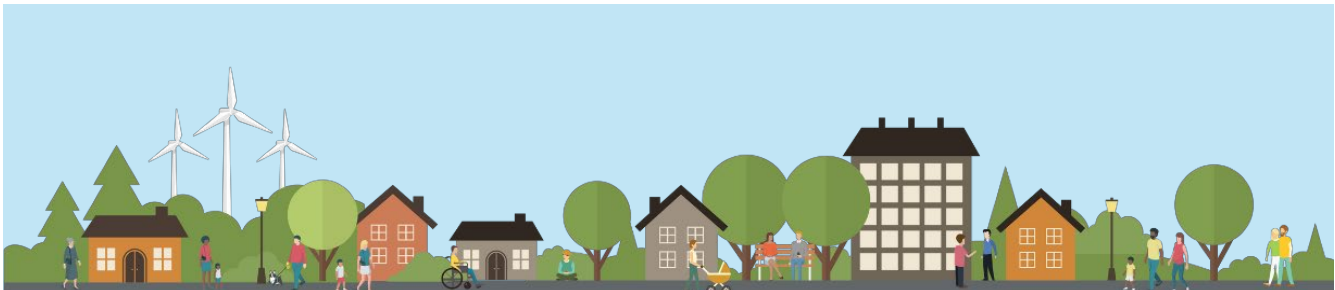


## Program Guidance

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## Change Log

Date	Description
5/13/2025	For consistency, various forms of grantee, subrecipients, sub-grantee etc. were changed to Grantee and Sub-grantee.
5/13/2025	Updated dates to match the new biennium.
5/13/2025	Updated Program Intent to reflect new biennium.
5/13/2025	Removed program summary in lieu of program intent.
5/13/2025	Added alternative options for various categories with OHCS approval.
5/13/2025	Added definitions of Culturally Responsive Organizations.
5/13/2025	Removed “Targeting of funds shall not violate any Fair Housing or anti-discriminatory requirements.”
5/13/2025	Changed title to Prioritizing Populations that are Disparately Impacted by Housing Instability and Homelessness.
5/13/2025	Partner Collaboration Requirement removed.
5/13/2025	<p>Added description of “Snapshot” method for income calculation.</p> <p>Changed minimum spending language and removed limitation of maximum spending dates.</p> <p>Removed cap percentage on admin</p> <p>Added alternative training options for grantee program staff</p>
August/ September 2025	<p>Removed unneeded definitions</p> <p>Change client to applicant or participant as needed</p> <p>Added missing Forms and Manual link for program</p> <p>Remove various language around social security</p> <p>Remove language around COVID era funding</p> <p>Remove rapid re-housing funding options</p> <p>Clarifying key performance indicator language</p> <p>Updated program compliance information</p>

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# Introduction

## Program Intent

Oregon Housing and Community Services (OHCS) is continuing efforts under the Oregon Eviction Diversion and Prevention (ORE-DAP) program to prioritize serving households most at risk of experiencing eviction and/or homelessness. These imminent risk households are currently experiencing housing insecurity and are at risk of experiencing housing loss within 21 days. All households served under the ORE-DAP program are low-income households, with an area median income (AMI) of 80% or less.

The ORE-DAP program utilizes state General Fund money for expenditures and activities to assist low-income Oregonians at risk of eviction or facing homelessness. Funds allow grantees to assist households by partnering with and providing a range of eviction prevention interventions such as rental assistance, coordination with partners who are providing legal services, mediation services, and other wrap-around interventions.

The purpose of the ORE-DAP program is to promote a system change that will make evictions in Oregon a rare occurrence, while supporting households who experience evictions with humane, dignified interventions. OHCS also seeks to divert households from homelessness and further housing instability and to reduce the racial disparities evident in eviction cases.

Households must meet:

- Income eligibility of not more than 80% of the Area Median Income (AMI)
- Housing status requirements

## Prioritizing Populations that are Disparately Impacted by Housing Instability and Homelessness

All grantees are encouraged to prioritize community members that are disparately impacted by homelessness and housing instability in their grant programs. This means that grantees must proactively consider steps to ensure that their grant programs are designed and implemented in a representative fashion in the communities they serve with marginalized communities at the forefront of their service delivery plan by:

- Proactively ensuring that their grant programs are accessible to all eligible individuals and organizations, regardless of:
  - race
  - color
  - national origin
  - religion
  - sex
  - familial status
  - or disability

- Providing targeted outreach and support to historically underserved or marginalized communities.
- Ensuring that application review and selection processes are fair and unbiased.

Grantees must take proactive steps to reach out to and engage with communities that have been historically underserved or marginalized.

## **General Program Requirements**

### **Key Performance Indicators**

- **Households Served:** Grantees must provide housing retention and eviction prevention services for the full number of households specified in their agreement.
- **Housing Stability:** 80% of all households served with ORE-DAP will retain their permanent housing at time of exit from the program. The housing stability performance measure uses the Homeless Management Information System (HMIS) as the primary data source unless otherwise approved by OHCS.

### **Staff Training**

Grantee and sub-grantee staff that provide direct services or supervise staff who provide direct services and manage homeless services grants must receive relevant training. The training required must occur for new staff within one year from the beginning date of employment and current staff must receive training minimally once every two years from the date of the previous training taken. Grantees and sub-grantees must track who attended each training, the date of the training and the synopsis of the training. Records for training must be made available to OHCS, upon request. Training is an eligible expense of program development and must include:

- Trauma Informed Services;
- Mental Health First Aid, Suicide Prevention, or something comparable
- Harm Reduction;
- Supporting Victims of Domestic Violence;
- Fair Housing; and
- For those using OHCS funds for Street Outreach, training must include Outreach Safety Strategies.

Additional training may be required by OHCS more often than every two years.

### **Privacy Notification**

Grantees and subgrantees must have a written document that meets the requirements of this

section and must have a stand-alone policy that describes how the grantee or sub-grantee is providing their Privacy Notification to applicants/participants.

A Privacy Notification must be provided for applicants/participants that includes the following language:

Personally identifiable information is protected by federal law (Privacy Act of 1974, as amended) and will be collected for the purpose of determining program eligibility, providing assistance/service, data collection, reporting, and monitoring. Personally identifiable information will be shared with Oregon Housing and Community Services and other state agencies as is necessary to carry out the intent of an assistance or service program for the benefit of the person applying for such assistance or service and will be disclosed to Oregon Housing and Community Services without written authorization.

Applicants/participants may also be asked to sign a Release of Information by grantees or sub-grantees that includes the Privacy Notification. If required to sign a Release of Information, in addition to the information above, such form must include the following statement:

Refusal to sign this authorization cannot be the basis for denying program services to otherwise eligible applicants/participants. Applicant/participant refusal to sign a Release of Information does not negate the inclusion of personally identifiable information in secure reporting to Oregon Housing and Community Services. Oregon Housing and Community Services will de-identify applicant/participant demographic data for the purposes of reporting.

Grantees and their sub-grantees must document in the applicant/participant file that a privacy notification was provided to the applicant/participant either verbally or in writing. For all other purposes of collecting personally identifiable information, grantees and their sub-grantees must follow state and federal laws for the collection, use and sharing of applicant/participant information.

Grantees must ensure that sub-grantees have policies that align with OHCS requirements and are consistent with the intent of such a policy as outlined by OHCS. OHCS retains the right to require modification of any policy that in its determination does not meet the requirements of this Program Guidance.

## **Confidentiality**

Confidential records include all applications, records, files, and communications relating to applicants/participants regardless of format. Policies and procedures pertaining to confidentiality must be in place, and must include:

1. Identification of how all applicant/participant records are secured and confidentially maintained.
2. A statement that all applicant/participant records must be maintained within state guidelines for the proper retention and destruction of records.
3. A requirement that all grantee officers, employees, and agents are aware of and comply with the grantee's confidentiality policy and must include an acknowledgement of such policy, in writing.
4. A provision for the electronic collection of applicant/participant information which states that:
  - a. Computers must be in a secure location, limiting access to only those persons who have a legitimate interest in and are responsible for applicant/participant records.
  - b. Computer monitors must be cleared (or a screen saver activated) immediately after accessing a(n) applicant/participant record.
  - c. Computers must be on a "locked" mode or turned off if the computer is unattended.
  - d. Access to personally identifiable HMIS data shall be given to only authorized personnel as necessary for performing the work required for ORE-DAP.
  - e. A statement that all records shall be open for review to federal and state authorized representatives, auditors, and examiners during their regular audits and monitoring functions of ORE-DAP.

Grantees must ensure that sub-grantees have policies that align with OHCS requirements and are consistent with the intent of such OHCS requirements. OHCS retains the right to require modification of any policy that in its determination does not meet basic principles or intent of OHCS requirements.

### **Service Termination or Denial of Assistance**

Grantees and sub-grantees must have written termination, denial, and grievance policies and procedures. The policies and procedures should be readily available to applicants/participants either at intake or by posting the policy in a public place. A public place should include grantee or subgrantee websites if services are provided in a remote capacity. It is important to effectively communicate these policies and procedures to applicants/participants and ensure they are fully understood.

Grantees and sub-grantees are required to provide verbal documented or written notice to applicants/participants when denied program assistance or assistance is terminated. The notice must include the specific reason(s) for the denial/termination and identify the steps to appeal the grantees or sub-grantee's decision.



## Grievances and Appeals

Grantees are required to have an established, written stand-alone policy for addressing applicant/participant grievances and appeal requests. Grantees must ensure that sub-grantees have policies that align with OHCS requirements and are consistent with the intent of such OHCS requirements. Applicants/participants must have the right and opportunity to appeal any decision that terminates, denies, limits, reduces, or modifies benefits for any reason.

Applicants/participants must be notified of their right for a grievance or appeal of such decision and grantee policy must clarify how and when applicants/participants are notified of their right to grieve/appeal decisions. Such grievance/appeal policy can be posted in a public place, to include the grantee or subgrantee website; however, applicants/participants must receive written notification for any decision that terminates, denies, limits, reduces, or modifies any benefit. Written notification via email is acceptable. Applicants/participants must receive a denial notification even if the reason for denial is a grantee's/sub-grantee's lack of funding.

Any person or persons designated by grantee or sub-grantee can complete the administrative review of the appeal, other than the person who made or approved the decision under review/appeal or a subordinate of this person.

All grievance/appeal policies must minimally include the following components:

1. Requires informing the applicant/participant that they can contest any grantee or sub-grantee decision that terminates, denies, limits, reduces, or modifies any benefits and identifies the steps to follow to contest the decision;
2. Requires informing the applicant/participant of the reason for termination, denial, limitation, reduction, or modification of benefit;
3. Allows any aggrieved person a minimum of thirty (30) days to request an administrative review/appeal of such decision;
4. Requires informing the applicant/participant of their right to present written or oral objections before a person other than the person (or a subordinate of that person) who made or approved the decision;
5. Identifies what reasonable accommodations are available for applicants/participants who have language, mobility, or disability barriers that would prevent them from participating in the review/appeal process and how to request such accommodations; and
6. Requires informing the applicant/participant and OHCS in writing of the final determination and basis for the decision within ten (10) days of the final determination.

OHCS retains the right to require modification of any policy that in its determination does not meet basic principles or intent of OHCS requirements.

## Nondiscrimination

Grantees are required to comply with all state and federal statutes relating to nondiscrimination. Grantee must have a stand-alone policy that includes the following:

1. A statement that grantee will comply with all state, federal, and local statutes, rules, and guidelines for all protected classes and will not take any of the following actions based on race, color, national origin, age, religion, gender, familial status, or disability (federal); or victims of domestic violence, marital status, sexual orientation, gender identity, or source of income (state):
  - Refuse to accept an application for housing assistance or services;
  - Deny an application for housing assistance or services;
  - Set different terms, conditions, or privileges for housing assistance or services;
  - Provide different or specific housing, facilities, or services;
  - Falsely deny that housing is available for inspection or rental or that services are available; or
  - Deny anyone access to a facility or service; and
2. Identifies how applicants/participants can request reasonable accommodation to access assistance or services, how that process is communicated to applicants/participants and how those requests are processed.

Grantees must ensure sub-grantees have policies that align with OHCS requirements and are consistent with the intent of such OHCS requirements. OHCS retains the right to require modification of any policy that in its determination does not meet basic principles or intent of OHCS requirements.

The Fair Housing Act prohibits discrimination based on protected classes in the housing activities of advertising, screening, and unit rentals. Using a **target population** in screening is allowed; however, refusal to accept applications or provide information on services or available housing to any protected class, even if these groups do not fit into the targeting strategy, is prohibited.

Screening criteria cannot be discriminatory and must be consistently applied. A **priority population** means persons that are determined to have the greatest need and will receive services first; however, priority cannot be used as means of denying any person assistance. Refusal to accept applications or provide information on services, or available housing, to any protected class, even if these groups do not fit into the priority population, is prohibited. For example, a grantee/subgrantee might decide to give priority to applicants/participants who graduate from a tenant readiness education program that is inclusive of all protected classes. If two requests come in at the same time and both meet the screening criteria, the applicant/participant who also has

the tenant readiness education experience could receive priority over the applicant/participant who does not; however, providers must always accept the **first** request meeting their criteria or prioritization policy.

Grantees and their sub-grantees must adhere to such prioritization required by OHCS.

For more information, see the Guide to Fair Housing for Homeless and Domestic Violence Shelter Providers produced by the Fair Housing Council of Oregon: [ShelterGuide\\_FHCO\\_2023](#).

Please visit the website for additional information or any updates: <https://fhco.org/>.

### **Limited English Proficiency**

The federal government has issued a series of policy documents, guides, and regulations describing how grantees and sub-grantees address the needs of persons who have limited English proficiency (LEP). The abbreviated definition of persons with LEP are those who: have difficulty reading, writing, speaking, or understanding English, and do not use English as their primary language.

Grantee must have a stand-alone LEP policy that describes the following:

1. The actions grantee took to identify LEP populations in their service area, citing any source(s) used for evaluation;
2. The actions grantee will take to provide language assistance and address language barriers;
3. How and how often staff will receive training about assisting LEP persons; and
4. That, minimally, LEP populations are evaluated biennially and that updates to the LEP policy incorporates any needed changes to address new or emerging LEP populations.

Grantees must ensure that sub-grantees have policies that align with OHCS requirements and are consistent with the intent of such OHCS requirements. OHCS retains the right to require modification of any policy that in its determination does not meet basic principles or intent of OHCS requirements.

Grantees and sub-grantees can create a written Language Access Plan (LAP) to provide a framework to document how their programs will be accessible to all populations in their service area. Grantees and sub-grantees who serve few persons needing LEP assistance can choose not to establish an LAP; however, the absence of a written LAP does not release grantees and sub-grantee's obligation to ensure LEP persons have access to programs or activities.

## **Conflict of Interest**

In the performance of work, grantees and sub-grantee(s) will create no potential or actual conflict of interest, as defined by ORS Chapter 244, for a director, officer, agent, or employee of grantee or any sub-grantee. A conflict of interest exists if, among other things, a decision or recommendation could affect the finances of the grantee's or sub-grantee's officers, agents, or employees or the finances of an officer's, agent's, or employee's relative. If a conflict of interest exists, the grantees or sub-grantee's officer, agent, or employee must always give written notice of the conflict, and in some situations the officer, agent, or employee is restricted in their ability to participate in the matter that presents the conflict of interest. No grantee or sub-grantee officer, agent, or employee may carry out the initial evaluation required to obtain services for any person for which an actual or perceived conflict of interest does or would exist, unless in rare circumstances it is in the interest of the applicant/participant for the expediency of housing placement services or to create a seamless service delivery while keeping the applicant/participant engaged in services and such situation is documented in the applicant/participant file.

Grantee must have a conflict-of-interest policy that outlines the process for disclosing, in writing, any potential or actual conflict of interest. This includes procedures for staff when employees, board members, friends, or family members apply for program services. Grantees and sub-grantees must comply with conflict-of-interest standards for both individuals and organizations. Grantees and sub-grantees must keep records to show compliance with program conflict of interest requirements.

### **Organizational**

The provision of any type or amount of assistance must not be conditioned on an individual's or household's acceptance or occupancy of emergency shelter or housing owned by grantee, sub-grantees, or an affiliated organization. Conflict of interest waivers regarding rent assistance and rental agreement requirements can only be approved by OHCS. If a grantee or a sub-grantee wishes to apply for a waiver, they must contact the OHCS housing retention program analyst or manager for guidance in submission of a waiver request, which must be approved by OHCS.

A grantee or a sub-grantee can conduct an applicant/participant's intake assessment to determine program eligibility if the applicant/participant resides in housing where the grantee or a sub-grantee has ownership interest for the expediency of housing placement services and to create seamless service delivery while keeping the participant engaged in services. A waiver of the conflict-of-interest policy for this purpose is not required.

Grantees and sub-grantees cannot steer potential renters to units owned or operated by the grantee or sub-grantees, if the renters will be using a rent subsidy paid with any OHCS funds. Rent-subsidized tenants are free to execute a rental contract with another landlord within the grantees or sub-grantee's service area, or they can choose to rent a unit owned or operated by the grantee or

a sub-grantees. A waiver request is not required for this situation; however, grantees and sub-grantees must comply with this provision of the conflict-of-interest policy.

Grantee must have a conflict-of-interest stand-alone policy that complies with the following:

1. States that grantee's officers, agents, and employees will create no potential, or actual conflict of interest;
2. Identifies how officers, agents, and employees are notified of policy;
3. Outlines the process for disclosing, in writing, any potential or actual conflict of interest;
4. Identifies the process the grantee will follow when notice of a potential, or actual conflict of interest is received and must include procedures for staff when employees, board members, friends, or family members apply for ORE-DAP services; and
5. Identifies how records are kept of potential, or actual conflicts of interest.

Grantees must ensure that sub-grantees have policies that align with OHCS requirements and are consistent with the intent of such OHCS requirements. OHCS retains the right to require modification of any policy that in its determination does not meet the basic principles or intent of OHCS requirements.

## **Individual**

For the procurement of goods and services, grantee and sub-grantees must comply with the conflict-of-interest requirements defined in this program guidance and in their policies.

Persons for whom the conflict-of-interest requirements apply include any person who is an employee, agent, consultant, officer, or elected or appointed official of the grantee or a sub-grantee. No person who exercises or has exercised any functions or responsibilities with respect to activities assisted under ORE-DAP, or who is in a position to participate in decision-making processes or gain inside information with regard to activities assisted under ORE-DAP, can obtain a financial interest or benefit from an assisted activity; have a financial interest in any contract, subcontract, or other agreement with respect to an assisted activity; or have a financial interest in the proceeds derived from an assisted activity, either for themselves or for those with whom they have a family or business tie, during their tenure or during the one-year period following their tenure.

## Applicant Eligibility

Housing Status Eligibility	Income Eligibility	Eligible Program Components
<ul style="list-style-type: none"> <li>• Literally homeless</li> <li>• Imminent risk of homelessness</li> <li>• Homeless under other federal statutes</li> <li>• Fleeing domestic violence</li> <li>• Unstably housed</li> </ul>	At or below 80% AMI	<ul style="list-style-type: none"> <li>• Program Delivery</li> <li>• Financial Assistance</li> <li>• Administration</li> </ul>

- Program applicant/participant household must reside in Oregon;
- Be experiencing homelessness or housing instability; AND
- With income at or below 80% AMI
- OHCS allows local prioritization processes except for ensuring that ORE-DAP participants who are at most imminent risk of eviction need to be prioritized for services and supports. This is generally those who have an active eviction case, or who have received an eviction notice.

“Household” means an individual living alone, family with or without children, or a group of individuals who are living together as one economic unit.

### Housing Status

Homeless and/or unstably housed households are eligible to receive ORE-DAP funded services. Housing status may be obtained through a self-certification process alone without regard to further documentation of housing status. Eligible applicants for ORE-DAP services must meet one of the following categorical definitions of homeless or unstably housed and be at risk of homelessness.

**Category 1: Literally Homeless** – Individual or family who lacks a fixed, regular, and adequate nighttime residence, meaning:

- Living in a primary nighttime residence that is a public or private place not designed for human habitation (including, but not exclusive to, a car, park, abandoned building, bus or train station, airport, or camping ground);
- Living in a publicly or privately operated shelter designated to provide temporary living arrangements (including congregate shelters, transitional shelter, and hotels or motels

- paid for by charitable organizations or by federal, state, or local government programs); OR
- Exiting an institution where individual or family has resided for 90 days or less AND who resided in an emergency shelter or place not meant for human habitation immediately before entering that institution.

**Category 2: Imminent Risk of Homelessness** – Individual or family who will imminently lose their primary nighttime residence provided that:

- The primary nighttime residence will be lost within 21 days of the date of application for ORE-DAP services.
- No subsequent residence has been identified; **AND**
- The individual or family lacks the resources or support networks (e.g., family, friends, faith-based or other social networks) needed to obtain other permanent housing.

**Category 3: Homeless Under Federal Statutes** – Unaccompanied youth under 25 years of age, or families with children and youth, who do not otherwise qualify as homeless under definition another category, (literally homeless, imminent risk of homelessness or fleeing/attempting to flee domestic violence) but who:

- Are defined as homeless under listed federal statute;
- Have not had a lease, ownership interest, or occupancy agreement in permanent housing during the 60 days prior to the ORE-DAP assistance application;
- Have experienced persistent instability as measured by two moves or more during the preceding 60 days; **AND**
- Can be expected to continue in such status for an extended period of time due to special needs or barriers.

**Category 4: Fleeing/Attempting to Flee Domestic Violence** – Individual or family who:

- Is fleeing, or is attempting to flee, domestic violence;
- Has no other safe residence; **AND**
- Lacks the resources or support networks to obtain other permanent housing.

**Category 5: Unstably Housed** – Individual or family who:

- Is at risk of losing their housing, and does not otherwise qualify as homeless under the above listed (1-4) categories, provided that:
  - They have been notified to vacate current residence or otherwise demonstrate high risk\* of losing current housing; **AND**
  - They lack the resources or support networks to obtain other permanent housing.

\*High risk may be demonstrated by but is not solely defined as: having experienced a loss of income or other threat to housing stability. In addition, sharing housing of other persons due to loss of housing, economic hardship, or a similar reason (“doubled up”) may demonstrate a high risk of losing current housing. Owing rental arrears or not having the ability to pay for future rent may also demonstrate high risk status.

## Income

ORE-DAP services require applicants/participants to be low income; household must be at or below 80% AMI at the time of application.

Child tax credits that are paid in advance by the U.S Treasury like stimulus checks, or the Earned Income Tax Credit are not counted as income for any HUD/OHCS programs or Oregon Department of Human Services programs such as Supplemental Nutrition Assistance Program (SNAP) or Oregon Health Plan (OHP).

Income includes the current gross income of all adult household members. Income earned by household members who are minors or full-time students and are not considered heads of household is excluded. While household assets should be identified to determine that an applicant/participant lacks the resources to obtain or retain permanent housing, they are generally not counted as income. There are other exceptions to income based on federal guidance, so please reach out to OHCS for additional clarification on what is counted toward income.

The grantee process for determining income eligibility and the documentation required must be consistent and must be applied equally across services that use or are supported by ORE-DAP funding. Grantees' policies and procedures must identify what method they will use to determine income eligibility and exceptions to the policy, if any. Documentation methods may include:

- Previous 12 months of income
- "Snapshot" of current income (at time of assessment)
- Previous 30 days of income

Income may be documented through self-certification when income documentation for the household is not accessible.

Convert periodic wages to annual income by multiplying:

1. Hourly wages by the number of hours worked per year (2,080 hours for full-time employment with a 40-hour week and no overtime);
2. Weekly wages by 52;
3. Bi-weekly wages (paid every other week) by 26;
4. Semi-monthly wages (paid twice each month) by 24; and
5. Monthly wages by 12.

To annualize other than full-time income, multiply the wages by the actual number of hours or weeks the person is expected to work.

A "snapshot" of current income can be used as an exception to grantee's policies and procedures,



when warranted and documented in the client file. **Snapshot method** means the process of determining the estimated annual income that uses a snapshot of the household income at the time of application. It does not rely on a specific period in the past to determine the annual income amount. The method must only be used when a household's income has recently changed drastically and is not expected to change from the time of the snapshot (such as in a recent job loss) or when income tends to be very volatile. The snapshot method cannot be used to avoid accounting for income.

1. **Standardization:** Grantees/sub-grantees have the discretion to calculate income standards in a manner best suited for the organization, based on their own policies. Example policies include using a year-to-date amount divided by the number of months in the year-to-date amount, using the last 30 days of paystubs or the last 60 days of paystubs. The main requirement is that the way income is calculated is consistent between clients. Exceptions to the standard way of calculating income must be identified in policy (such as circumstances in which a snapshot method is used).
2. **Consistency:** Grantee/sub-grantees must be consistent in how income calculation standards are applied, even if that means it excludes someone from being able to be assisted. Grantee/sub-grantees cannot use the most current paystub for one person, the last 30 days for another, and a year-to-date for someone else, especially if the fluctuating use shows that it is being done to under-calculate income. Income calculation standards must be documented in policy and such policy will be subject to OHCS monitoring.
3. **Client quit a job:** If an applicant quits their job within the past 30 days and meets other eligibility, assistance may still be provided; however, the income can be calculated on the snapshot method. The snapshot method is an exception to a standardization of income calculation and must be identified in the grantee/sub-grantees policy as well as documented in the participant file as to why the exception was granted.
4. **Overtime and bonuses** cannot be excluded from income calculations. Income cannot be excluded just because it would put the applicant/participant over the income limit. Year-to-date income methodology is an effective way to determine income when income is varied and includes overtime or bonuses.
5. **Income from a live-in aide** is not considered part of the income determination; however, a live-in aide must meet the following criteria:
  - a. Live-in aide means a person who resides with one or more elderly household member, or near-elderly household member, or member of the household with disabilities, and who:
  - b. Is determined to be essential to the care and well-being of the household member;
  - c. Is not obligated for the support of the household member;
  - d. Would not be living in the unit except to provide the necessary supportive services; and
  - e. Provides documentation of payment for the live-in aide services provided to the household.

6. **Child tax credits, Earned Income Tax Credits, stimulus payments, and tax refunds** are not considered income.
7. **Self-employment:** When calculating self-employment, use the previous year's tax information, if available. Use the gross income and subtract out the deductions claimed on Schedule C to get a net income. Schedule C is the Profit and Loss from Business form, which deducts expenses, such as their vehicle, supplies, offices expenses, travel, utilities, etc. The net income is then divided by 12, and the result is used for the household's monthly income.

More information on income can be found on the OHCS website:

[Oregon Housing and Community Services : Income and rent limits : Housing Compliance & Monitoring : State of Oregon](#) in the Income Inclusions and Exclusions form.

## Eligibility Documentation

Eligibility may be documented through self-certification and/or within guidelines for remote application and documentation. Self-certification may include, but is not limited to:

- Income for the household if other sources of documentation are not accessible
- Housing status at intake to program

Please note that housing status does not need to be verified through further documentation other than self-certification, but a grantee may wish to obtain more documentation if needed to establish eligibility. Income documentation such as paystubs, SSI or SSDI paperwork, etc. should be sought from applicants but if documentation is unavailable immediately, self-certification of income is allowable.

Applicants who apply for assistance and provide eligibility documentation remotely may do so via electronic and other communication, e.g., phone, email, text, electronic messaging, mail, and other electronic or remote means. The documentation must be kept in the participant file.

Grantees and sub-grantees are required to develop and maintain policies and procedures for the use of a remote application and eligibility documentation process. These policies and procedures must be available for review by OHCS, upon request. Such policies and procedures must be applied equally across services that use or are supported by ORE-DAP funding.

Grantees and their subgrantees must have controls in place to ensure compliance with their policies and procedures and prevent fraud. Grantees and sub-grantees must specify in their policies and procedures under what circumstances they will accept written attestations from the applicant/participant without further documentation to determine any aspect of eligibility or the amount of assistance, and in such cases, grantees and sub-grantees must have in place

reasonable validation or fraud prevention procedures to prevent abuse.

Grantee and subgrantee policies and procedures must address the following elements:

- In what circumstances will a remote application and documentation process be used.
- Verification of the identity of the applicant/participant.
- Verification and documentation of qualification for assistance in relation to ORE-DAP eligibility criteria.
- Verification and documentation as appropriate for ongoing demonstration of eligibility; and
- Notification and documentation to applicant/participant in relation to release of information, service denial or termination, and grievance, review, and appeal requirements.

### **Citizenship and Immigration Status**

OHCS expects grantees to provide services regardless of immigration status to all eligible households. Immigration status or citizenship may not be used as a reason for denial of services.

### **Prioritization Guidance**

OHCS recognizes that prioritization of resources is a reality when there is more need than available resources. OHCS also notes that prioritization about who is served first needs to consider local factors and needs while also ensuring that discrimination and fair housing laws are followed accordingly. The rest of the determination processes need to be documented by grantees and subgrantees to determine the highest needs for each local community. To that end, OHCS has the following criteria for prioritization under ORE-DAP:

**OHCS is requiring that households who are facing an active eviction case be prioritized for funding** over those who are simply at risk of eviction. Grantees must develop a written strategy for identifying and prioritizing households that have received an eviction notice, or have a pending first appearance, have a written notice to vacate, or are otherwise at imminent risk of eviction. OHCS recommends that grantees work closely with the Oregon Eviction Defense program, a statewide program of the Oregon Law Center, and other legal services providers to align resources and support people with eviction cases.

### **Allowable Program Components and Expenditures**

Program related expenses are eligible for the period starting with each grant agreement through the end of that agreement. Rental arrears that occurred prior to this time frame are an eligible program expense when it poses a risk to the housing stability of the participant.

Assistance cannot be provided to households who reside outside of Oregon or for expenses

outside of Oregon.

Payments may be made directly to households who are experiencing housing instability when a landlord is not responding to or accepting payments. This option should only be used if outreach to the landlord is unsuccessful. Grantees must have a written policy outlining the process in which a direct payment to a household is the most expedient option; it must include sufficient documentation of attempts to make payment to the landlord and the explicit purpose for the payments must be an eligible expense.

Assistance may not be used for providing hotels and motels to clients who are experiencing homelessness through provision of non-congregate shelter. ORE-DAP funds do not allow for this type of sheltering activity and must be spent on the provision of anti-eviction activities as detailed below.

Please note, due to the complex nature of evictions and the needs that people may have, there may be overlap between different categories listed below. Budgets in OPUS for the ORE-DAP program do not need to differentiate between these categories at the onset due to the need to be responsive to local needs and unique client circumstances.

The following categories are allowable expenditures under the ORE-DAP Program:

## Allowable Expenditures

CATEGORIES	
<i>These terms are used throughout the document and defined below.</i>	
PROGRAM DELIVERY	
Outreach and engagement activities, including street outreach	Outreach and engagement activities associated with the community served by the grantee. Street outreach is a service that engages with people experiencing homelessness who are living outside or in public spaces. The goal of street outreach is to help people experiencing homelessness move into permanent housing and connect them with other supports and resources. These expenses can include outreach staff time, transportation, promotional materials, meetings, and events. Please see “Safety in Outreach” section below chart for more information.
Translation Services	Development of an LAP and translation of web and print materials into languages most utilized in the service community. Expenses tied to enabling access to services for applicants/participants with LEP.

Web, print, social media, and advertising	Promotions and advertising for the grant program and other available housing-related services provided by the grantee. Web media, print media, social media advertising, and promotional expenses.
Research and development	Grant program design, research to determine community needs and service delivery best practices, third-party development and programming, software development costs, pilot programming, and program testing.
Program implementation planning	Planning activities related to preparing to implement the program. Planning meetings, events, onboarding, and training expenses. Providing technical assistance and support to help sub-grantees build their capacity to ensure they provide culturally responsive services.
Equity and accessibility efforts	Expenses tied to accommodations and efforts to ensure the program is delivered with culturally responsive services, and outreach efforts are made to reach the most vulnerable and underserved Oregonians. Expenses tied to building culturally responsive service delivery into the program design and ensuring the program is accessible to those who are differently abled or have historically been underserved by state resources and are disparately impacted by housing instability.
Program evaluation	Regular evaluation of program efficacy, outcomes, generating reports, charts, and visualizations. May include materials and expenses tied to these efforts.
Training & technical assistance	Staff training related to the development and implementation of the grant program. This includes training materials, training space rent and expenses, equipment, and transportation.
HMIS and data system expenses	Set up and maintenance of HMIS access and utilization. This includes hardware, set-up fees, maintenance, software, subscription fees, and training needs.
Personnel – staff time	Staff wages, salaries, and employment benefits for staff who deliver services and those who directly oversee program operations.
Direct to program non-personnel expenses	Direct expenses tied to the operation of the program as space rent, office supplies, equipment, and vehicle leasing tied directly to staff operating the program.
Capacity building (5% max)	Please see “Capacity Building” below chart for more information.

Case management services	Direct services and referrals tied to activities associated with individualizing and integrating employment, health care, connections to benefits, and other housing-related options for or with an individual or household. Case managers assist participants in accessing and coordinating any services necessary to address their housing instability. It is a collaborative process that involves planning, implementing, monitoring, and evaluating the options and services for each participant. Please see “Case Management Services” below chart for more information.
Housing and health navigation services	Housing navigation and housing education are services that help individuals and families experiencing housing instability or homelessness to identify opportunities and address barriers to housing. A specialist who assists people in locating and securing affordable housing is called a housing navigator. Healthcare navigators can help patients navigate the clinical care system. Responsibilities include helping patients to find and access treatment. Housing stability is a social determinant of health and health stability supports housing stability. Thus, OHCS views them as interdependent.
Hotline and in-person services	Telephone and web data systems, call routing, tracking, and data collection. HMIS expenses billed separately. On site service delivery and setting up trauma-informed spaces for applicant/participants to converse privately related to their cases and housing or case concerns.
Participant support meetings and events	Meetings and events involving program participants as a part of ORE-DAP to engage in supportive activities such as cohorts, services geared toward gaining employment, raising income, budgeting, educational opportunities, case management activities, etc.
Transportation/travel	Transportation, meal expenses, and lodging tied to approved grant activities such as out-of-area educational conferences. Travel is allowable as a direct program cost when such travel will provide direct benefit to the participant of ORE-DAP.

FINANCIAL ASSISTANCE	
Rent and utilities payments and arrears	Past due rent and utilities payments, without a maximum number of allowable months. Space rent is included in this category.
Future rent and utility assistance	Future rent and utility payments, without a maximum number of allowable months. Grantee must have policy related to serving program participants and community equitably.

Security deposits	Security deposit payment for current unit or unit household is moving into to attain housing stability.
Moving expenses	Moving expenses related to a new housing unit or out of a housing unit that does not offer stability. Expenses can include moving truck, packing supplies, movers, and helpers for differently abled households. No moving into or out of Oregon will be supported by ORE-DAP funding that are seeking long-term housing stability in Oregon.
Application fees	Rental application fees for new housing unit.
Civil legal services (legal advice, legal representation, court fees)	Civil legal services are legal assistance to low-income households who have non-criminal legal concerns. Legal services may include; mediation to help disputing parties to reach a mutually agreeable settlement. Arbitration to make a binding decision to settle a dispute. Preparation of legal documents. Representation of participants in negotiations, court, or arbitration.
Landlord/tenant mediation/legal services	In landlord-tenant mediation, a neutral third party, the mediator, helps landlords and tenants resolve conflicts and disputes related to their rental relationship. Mediation may or may not be mandatory depending on whether it falls under Chapter 90 Statute. The mediator works to facilitate a mutually beneficial, and a legally-binding (if signed by both parties) resolution to their dispute. Mediation is an informal and voluntary way of resolving disputes between tenants and landlords.
Pet rent and pet deposit	Pet rent payments and payments of security deposits for pets in housing units. Per statute, landlords are not able to charge pet rent or deposit for service animals.
Housing-related fees	Rent/utility late fees, housing-related court fees, and utility reconnection fees.
Work supports	Expenses including training costs, transportation assistance, childcare and eldercare needs, and clothing to support employment needs.
Furniture and household goods	Up to a maximum of \$2000 per household for basic furniture and household goods to make the unit habitable for the household needs. These expenses can include bed, bed frame, seating, dining table, needed lighting, kitchen supplies, food

	supplies, bathroom supplies, personal protective equipment, etc.
Transportation	Costs, such as bus/train passes, gas vouchers, Uber/Lyft/cab fares, car repairs/insurance are allowable, and travel related expenses to support participant appointments for employment, benefits, medical needs, or any other related activity tied to their housing stability plan.

ADMINISTRATION	
Administrative expenses	Costs and expenses associated with the administration of ORE-DAP grant, including operations, information technology, executive team, human resources, and finance expenses tied to administering the program.
Indirect to program non-personnel expenses	Operation of the program and overhead expenses, such as rent, utilities, office supplies, equipment, and vehicle leasing.
Additional examples are found in this program guidance under administration.	

### Case Management Services are inclusive of:

- Intake and assessment, including time spent assessing a household and determining whether the household is determined eligible;
- Once an eligibility determination is made, case management services also work to connect participants to resources within the organization, or external to the organization if needed for stability supports;
- Direct participant services include developing an individualized housing and service plan, monitoring and evaluating household progress, identifying creative and immediate housing solutions outside of the traditional homeless service system (diversion), and ensuring that households' rights are protected;
- Services that increase access to the income supports. This includes increasing access to earned income, or access to disability benefits programs administered by the Social Security Administration for eligible adults who are experiencing or at risk of homelessness;
- Services for participants who are entering into or are in permanent supportive housing and need assistance to stabilize;
- Placement services include services or activities designed to assist households in locating, obtaining, or retaining suitable housing; tenant counseling; assisting households to understand leases; inspections; securing utilities; making moving arrangements; and representative payee services concerning rent and utilities;



- Mediation and outreach to property owners/landlords related to locating or retaining housing;
- Data entry

## Gift Cards

Gift cards issued to eligible participants for the purpose of purchasing items must be in support of the participant's housing stability goals and provided that adequate documentation exists to support the purpose and the expense and there is an OHCS-approved Gift Card Policy with established policies and procedures in place to address the process. Use of gift cards must be rare, for very specific housing-related goals and only when other payment options are not available.

## Gift Card Requirements

- The expense must be allowable under this program guidance and must show a connection to housing stability. Grantees will be monitored, by OHCS, and expenditures will be disallowed without sufficient documentation.
- Gift cards must be purchased and issued to participants within the same grant period. For any gift cards that are not issued to participants before the close of the grant period in which they were purchased, grantees must submit a negative request for funds for the grant period in which the gift cards were purchased totaling the amount of the unissued gift cards and other non-OHCS or allowed OHCS funds must be used for the cost of the gift cards.
- Grantee must maintain complete record of gift card purchases and recipients. Gift cards must be kept in a secure location prior to being issued.
- Participant must receive documentation that identifies the purpose and intent of the gift card and must acknowledge, by written, legible, wet signature, the same, and such documentation must be kept in the participant file.
- Grantee and/or sub-grantee must develop a gift card policy and obtain **OHCS approval**. The policy must, at a minimum, include:
  - Justification as to why gifts cards are issued rather than providing assistance through conventional means.
  - Authorization levels of approval for gift card purchase and issuance within grantee or sub-grantee's organization.
  - Dollar limitations per participant.
  - Frequency in which gift cards can be issued in lieu of other alternative payment options.
  - Requirement that issuance of a gift card is in support of a participants plan to increase housing stability, and that plan is included in the participant file.

**Documentation:** Policy must include a participant-facing policy that identifies allowable purchases and use of gift cards. The participant-facing policy document must be signed, or verbal attestation, as received and read by or to the participant. One copy should be provided to participant, and one copy should be kept in participant's file.

## **Eviction System – Capacity Building (5% maximum of full award)**

*For the sake of brevity, eviction prevention system capacity building will be referred to simply as capacity building.*

Capacity building is defined as activities that assist organizations to develop networks to undertake joint activities and coordinate their services to achieve common goals and provide better service to participants experiencing housing instability. Capacity building must be used to increase the ability of a grantee, sub-grantee or local system to deliver ORE-DAP funds for eviction prevention. If a grantee wishes to hire technical assistance consultants, it is an allowable expenditure.

Funding can be used to support projects and activities that increase a grantee's service area's capacity to provide housing services. Capacity building can be internal to the grantee as well as within the external service area and community. Supporting organizations with mentoring, finance, strategy building, and system analysis are a vital part of capacity building. Records of capacity building activities must be kept in accordance with OHCS records requirements, inclusive of meeting records, outcomes, and evaluation records, along with any fiscal records associated with the project.

Objectives of capacity building are:

1. To enhance, or more effectively utilize, skills and abilities, and resources of eviction prevention service providers;
2. Strengthen understandings and relationships among eviction prevention service providers; and
3. Address issues of values, attitudes, motivations, and conditions to support housing stability activities in a sustainable manner.

**Capacity building is not a category through which to simply share program information and available services with other providers which can be accomplished through marketing and outreach efforts.** Capacity building projects are activities that are specifically designed to increase the community's ability to provide eviction prevention services. Costs associated with advertising and public relations are solely to promote the grantee/sub-grantee organization, and their activities are allowable to be billed under Program Delivery.

## **Transportation**

Costs, such as bus/train passes, gas vouchers, Uber/Lyft/cab fares, car repairs, and insurance are allowable. Payments that allow participants to use public transportation are the highest priority

and must be considered first for the purpose of attending required appointments, job search, or other critical services. Case managers have the discretion to provide for repairs/gas/insurance for a participant's personal vehicle. Case managers must document why a participant's personal vehicle option is preferred over public transportation options and that the expense will lead to the stabilization of housing. Costs associated with a vehicle not owned by the participants are not allowed. Participants must have a valid driver's license.

ORE-DAP funds cannot be used to build assets, such as the purchase of a vehicle or loan payments and cannot be used for debt payments, such as traffic violations/fines to obtain a license. Private transportation options can include minor vehicle repair, car insurance, and the least costly option for vehicle registration, with written grantee policy on use of funds for these services and such policy must be available to OHCS upon request. Grantees must ensure that sub-grantees have policies that align with OHCS requirements and are consistent with the intent of such OHCS requirements. OHCS retains the right to require modification of any policy that in its determination does not meet basic principles or intents of such OHCS requirements. For example, repair to a vehicle might be preferable to a bus pass if the community does not have public transportation or if the participant works at night when public transportation is not operational.

Transportation does not include insurance to pay for roadside assistance (such as membership to AAA) or traffic violations, or any collection costs associated with these fines. Insurance includes only general liability insurance as required by the State of Oregon; however, comprehensive/collision coverage can be allowed, but only when there is documented evidence that such coverage is a requirement of a vehicle loan. Insurance is paid before the period of service and vehicle owners have 10 days in which to make payment; therefore, insurance arrears is not an allowable cost.

## **Safety in Street Outreach**

Safety in service delivery –grantee must have a written policy (such policy must be made available to OHCS upon request, grantees must ensure that sub-grantee(s) have policies that align with OHCS requirements and are consistent with the intent of such OHCS requirements. OHCS retains the right to require modification of any policy that in its determination does not meet basic principles or intents of OHCS requirements) regarding staff safety in service delivery, which may include the following:

- Never go out alone. Teams of two should be considered the absolute minimum. Establish a system in which threats to safety to teammates are identified unbeknownst to others while conducting street outreach.
- The office or clinic (e.g., team members not in the field) should always know the location of outreach teams. Keep to a set schedule and use smartphones that have GPS functionality built in.

- Wear matching clothing, ideally in bright colors, so the street outreach team is easily identified as the street outreach workers.
- Linkages with crisis response teams and behavioral health support are essential, especially if outreach teams lack a behavioral health provider.
- Use trauma-informed de-escalation training for outreach staff.
- Use harm reduction principles: safety and comfort are two different things, as are perceived threats to safety and actual threats. Witnessing drug use is not necessarily a threat to safety, for example.
- Create time and space for street outreach teams to debrief and process any threatening events. Trauma-informed supervision of outreach personnel is essential.

## **Duplication of Benefits**

Grantees and sub-grantees are responsible for ensuring that benefits issued do not duplicate other benefits for the same payment/service using HMIS and any other data system for which the grantee or sub-grantee has access. Grantees must have a policy that identifies:

- How they track use of benefits to prevent duplication of benefits; and
- Grantees must ensure that sub-grantees have policies that align with OHCS requirements and are consistent with the intent of such OHCS requirements. OHCS retains the right to require modification of any policy that in its determination does not meet basic principles or intents of OHCS requirements.

## **Records Requirements**

### **Case Files**

Documentation of applicant/participant eligibility and services received must be maintained in participant case files (paper or electronically). Documentation for applicants found to be ineligible for assistance or for participants who are no longer eligible to receive assistance is required and must include the applicant/participant's request for assistance, why they are ineligible and how it was communicated to the applicant. Ineligible applicants do not need to be entered into HMIS, or other approved alternative system, unless the use of HMIS, or other approved alternative system, is a part of the grantee or sub-grantee's intake/assessment process.

File documentation will be the basis of OHCS Program compliance monitoring to ensure adequate documentation of case files. Sample forms are available on the OHCS website located here:

[Oregon Housing and Community Services : Forms & Manuals : For Providers : State of Oregon](#)

# Data Entry

## HMIS

Except for domestic violence victims and, other specific circumstances approved by OHCS in advance, grantees and their sub-grantees are required to enter ORE-DAP program-related participants data into the community's HMIS. Alternatively, with written permission from OHCS, a grantee may use a database that is comparable to HMIS. Victim services providers, serving survivors of domestic violence, are also required to collect participant data, but will not directly enter data into an HMIS. Victim service providers must enter participant level data into a comparable database that complies with HMIS requirements. Grantees and sub-grantees are responsible for acquiring and documenting informed written consent from program participants and protecting program participant's confidentiality.

## Data Timeliness

Timely and accurate data entry is critical to ensuring meaningful data analysis and reporting. ORE-DAP requires **grantees and sub-grantees to enter data within 72 hours**, depending on local Continuum of Care (CoC) HMIS policies.

## Data Collection Requirements

Supportive Services Only (SSO)

ORE-DAP Required Data Elements:

- Name and Name Data Quality
- Social Security Number and Data Quality
- Date of birth and DOB Data Quality
- Race (Secondary and Primary)
- Ethnicity
- Gender
- Veteran Status
- Disability Condition (Y/N)
- Project Start & End Date
- Destination
- Relationship to Head of Household
- Client location (COC)
- Prior living situation
- Current County of Residence (required for COCs with more than one county in the geo-area)
- Percent of AMI
- Service transactions
- Fund source (For Direct Services: example prescription payment assistance, rent payment assistance, gas voucher)
- Program/Fund (Provider Standards)

## **Reporting**

Grantees must provide monthly disaggregated data using the SAP Business Objects (the HMIS reporting tool) System Query Report, or as otherwise approved by OHCS. The report is due 20 days following the end of each month and must be uploaded into, or a secure file transfer platform established by OHCS or utilize an automated export of disaggregated HMIS participant data. System Query data may be submitted by the HMIS administrator for all OHCS funded HMIS Participating Agencies/Providers in the Oregon Multi-Continuum HMIS instance.

### **Program Delivery Annual Report**

An annual narrative report must be submitted, in form and format required by OHCS, by August 30th providing detail, including, but not limited to grantee's budgets, program services, performance, outcomes, successes, and challenges.

**OHCS reserves the right to request other key datasets including the following:**

1. Detailed budget and spending reports;
2. Number of clients served to date, including demographics and other trends as indicated in the HMIS system; and
3. Number of requests for assistance to date.

Additional guides and assistance with HMIS data entry, data quality and reporting may be found on our website at: <https://www.oregon.gov/ohcs/for-providers/Pages/index.aspx>

## **Compliance**

### **Program Compliance**

Program Compliance is responsible for evaluating the risk of OHCS grantee operating programs using public funds. Grantees will be monitored according to the written requirements on program operations, performance, and funds usage from program manuals, legislation, and other written guidance. Program Compliance will monitor a Grantee once per funding distribution period but reserves the right to monitor more or less frequently, pending staff capacity and previously issued risk ratings. Certain grantees may be required to complete a self-certification report in lieu of full monitoring, at the discretion of HSD Program Compliance.

Program Compliance will notify grantees minimum of 2 weeks to a maximum of 30 days prior to

monitoring kickoff. This notice will outline policies, procedures, client files, payment information, and other details that will be reviewed as part of the monitoring.

After completing the monitoring visit or virtual review, Program Compliance will provide the Grantee with a Findings Report within 30 days that includes information on any findings identified in the monitoring process. Upon receipt of the Findings Report, Grantees will be given 10 business days to accept, correct, respond, and/or dispute any findings identified.

As part of the monitoring, Program Compliance will issue a risk rating to the grantee. This rating will be informed by the number of findings or violations identified in the monitoring process. Scoring will generally follow the criteria below:

	Full Compliance (No Risk)	Substantial Compliance (Low Risk)	Mediocre Compliance (Moderate Risk)	Non-Compliant (High Risk)
# of violations	0	1-30	31-50	51+

If Program Compliance determines a Grantee is “High Risk,” Program Compliance will require HSD Program staff and the grantee to create a corrective action plan which addresses areas of deficiency. The Grantee will be required to implement this plan with support from HSD Program staff.

Once all findings are resolved and corrective action plans in place, Program Compliance staff will conduct an exit interview, issue a Final Report and Closeout letter. Should the result of the monitoring require recapture of funds and/or reduction in grant funding, instructions for any repayment will be provided at this time.

### **Subgrantee Monitoring**

The terms “Subgrantee” and “Subrecipient” refer to a Grantee’s subgrantees, subcontractors, or other entities operating programs on behalf of HSD using dollars disbursed through OHCS and the Grantee. All subgrantees must comply with applicable program rules and regulations as noted in this manual, legislation, and other written guidance and agreements.

HSD requires Grantees to conduct a monitoring review of their subgrantees once per funding distribution period. Program Compliance reserves the right to direct Grantees to review subgrantees on a more frequent basis, informed by previous risk ratings. Program Compliance monitoring will request records of subgrantee monitoring reports for review during monitoring. The goal of subgrantee monitoring is to ensure compliance with grant agreements, contracts, program requirements and guidance, and the achievement of performance goals.

Program Compliance will provide training and technical assistance to grantees to provide support to, and oversight of, subgrantees. Program Compliance will provide documents to grantees which will assist in the monitoring of subgrantee client files for eligibility and alignment to program requirements. Grantees are responsible for follow up on any deficiencies found in Subgrantee reports. A follow-up report is required with supported documentation (i.e. Pictures, reports, etc.)

Subgrantee monitoring must include the following aspects, as directed by OHCS:

- Evaluation of the subgrantee's risk of non-compliance with rules, regulations, and guidance as applicable to programs operated by the subgrantee;
- A review of documented policies and procedures related to program operation;
- A review of financial and performance reports;
- A review of client records for eligibility and denials of service compared to written guidance;
- A review of documented policies and procedures related to document security, maintenance, retention, and destruction, and adherence to these policies;
- Follow up, including reinspection reports, within 30 days on all identified deficiencies related to HSD (OHCS) funding in accordance with program rules, regulations, and contract agreements.
- A final closeout letter or report upon completion of the monitoring and resolution of findings.

Grantees must have a stand-alone policy which identifies the following:

- Frequency of subgrantee monitoring, conducted at minimum once per term of the subgrantee funding contract agreement;
- The number of relevant samplings of participant files (both eligible and non-eligible) and that such review includes eligibility, notification, and documentation;
- The number of relevant samplings of HMIS or record keeping entries to ensure appropriate entry and tracking of participant information and service transactions;
- A review of subgrantee records to ensure compliance with Personal Identification Information (PII) security, maintenance, retention, and destruction of records;
- A review of subgrantee policies and procedures, forms, documents and notifications to ensure compliance with all programs, state and federal rules, regulations and requirements.

HSD Program Compliance retains the right to require modification of any policy that in its determination does not meet basic principles or requirements of such a policy.

## **Fiscal Compliance**

Grantees and their subgrantees must maintain accurate, transparent, and appropriate fiscal controls to ensure proper stewardship of ORE-DAP funds. All financial management practices must comply with State rules, policies, and procedures, including Generally Accepted Accounting Principles (GAAP).



OHCS will conduct a fiscal monitoring of grantees once every two fiscal years or more frequently at OHCS' discretion. Fiscal monitoring will be conducted once every two fiscal years unless circumstances and/or risk assessment require less or more frequent monitoring at OHCS' discretion. Grantees will be notified at least thirty (30) days in advance of the monitoring visit and informed of what documents and records will be reviewed and any required staff or board interviews. OHCS will provide grantees with a written monitoring report inclusive of any findings, concerns, or comments. Grantees are required to submit timely corrective action to findings and failure to do so can result in the withholding of funds or a requirement to return ORE-DAP program funds to OHCS or other remedies as described in the grantee's grant agreement.

Grantees must notify and receive approval from OHCS when adding sub-grantees or renewing subgrantees.

### **Subgrantee Monitoring**

Grantees and sub-grantees must follow program intent, rules, and guidelines for the expenditure of funds.

All additions or removals of sub-grantees to ORE-DAP grant programs must be reported to Housing Retention program staff within 30 days of the change.

**All grantees must comply with all applicable program rules and regulations as noted in this program guidance, the grantee's grant agreement. Records of grantees monitoring performed by the grantee or sub-grantees will be reviewed during OHCS monitoring.** Grantees monitoring reports must be retained by the grantee and available for review by OHCS or other authorized entity, in compliance with program rules.

At least once during each biennium, grantee must monitor the activities and expenditures of its sub-grantees to ensure:

- Sub-grantees are following the ORE-DAP program guidance and the grantee's grant agreement.
- Achievement of performance goals; and
- HMIS data is entered as required.

Grantee's monitoring of its sub-grantees must include:

- An evaluation of each sub-grantee's risk of non-compliance with rules, regulations, and terms and conditions of any applicable agreement for purposes of determining the appropriate level and type of sub-grantees monitoring;
- A review of financial and performance reports;
- A review of sub-grantees policies and procedures, forms, documentation, participant records including eligibility, notifications and documentation;

- A review of participant records to ensure compliance with security, maintenance, retention and destruction of records; and
- Follow-up on all deficiencies pertaining to any ORE-DAP in accordance with all program rules and regulations.

Grantees must have a stand-alone policy that identifies the following:

- The number of relevant samplings of fiscal transactions per program;
- The number of relevant samplings of participant files and that such review includes eligibility, notification, and documentation;
- The number of relevant samplings of HMIS entries to ensure appropriate entry and tracking of participant information and service transactions;
- A review of participant records to ensure compliance with security, maintenance, retention, and destruction of records; and
- A review of sub-grantee's policies and procedures, forms, documents and notifications to ensure compliance with all programs, state, and federal rules, regulations and requirements.

**OHCS retains the right to require modification of any policy that in its determination does not meet basic principles or requirements of such a policy.**

## **Financial Management**

### **Mandatory Use of OPUS**

The OPUS database is the system of record for financial transactions with OHCS, and use of OPUS is mandatory for fund allocation, draw down, and fiscal reporting processes.

The OPUS system is a web-based centralized data system designed to meet business processing needs. Grantee staff must complete training before being authorized to use OPUS. Training can be provided by OHCS.

Grantee must, and must cause and require its sub-grantees by written agreement to comply with the following program specific reporting requirements:

Ensure that data collection and reporting for ORE-DAP funded activities be conducted through the use of the OPUS database or other OHCS designated service data information system and assure that data entry into OPUS occurs in an accurate and timely manner.

ORE-DAP uses the following categories within OPUS:

- Administration
- Financial Assistance
- Program Delivery

OHCS maintains an OPUS Manual and OPUS Help Desk. Staff can be reached at:

- **Email:** [hcs\\_dl\\_hcs\\_opus@hcs.oregon.gov](mailto:hcs_dl_hcs_opus@hcs.oregon.gov)
- **Phone:** 503-986-2099
- **Toll Free:** 800-453-5511, Option 6

## **Request for Funding Documentation**

Grantees must retain supporting documentation of all costs charged to its ORE-DAP grant and must be able to provide evidence that grant funds were spent on allowable costs. When grantees submit a Request for Funds (RFF) in OPUS, they are required to upload documentation of the costs for which they are requesting payment. Any RFF submitted without accompanying documentation or with insufficient documentation will be returned to the grantee with instructions to provide additional information.

## **Budget Change Requests and Amendments**

All budget changes require OHCS approval by submitting a budget change request form electronically to your grant administrator.

Changes to a grantee's project activities may necessitate a grant amendment. This could include some budget change requests due to changes in project activities.

At the discretion of OHCS, additional information may be required for a budget change request.

## **Request for Funds**

Grantees are required to frequently and regularly submit AGR/RFFs to appropriately expend their funds within their identified spending targets. Frequently and regularly is defined as at least once every 60 calendar days per program; however, OHCS prefers and recommends submission to occur once every 30 calendar days per program.

## **OHCS Spend Down and Reallocation Policy**

The following procedures are established for ORE-DAP funds allocated to grantees through the Grant Agreement process.

## **Spending Targets**

All funds, except for administration allocations, will be spent proportional to the expenditure period at the rate prescribed below (as tracked through the OPUS "Award Summary" report).

### ***Minimum Spending Targets***

If you are requesting a deviation from this spend-down plan, please justify the change in the time-bound expenditure plan, please state that you are “requesting an alternative plan, which will look like this:” and communicate the details of the alternative spend-down plan. Unless OHCS approves in writing an alternative spend-down plan, the following spend-down plan will apply:

- At 25% through expenditure period, at least 10% of the funding must be spent.
- At 50% through expenditure period, at least 25% of the funding must be spent.
- At 75% through expenditure period, at least 65% of the funding must be spent.
- At 90% through expenditure period, at least 90% of the funding must be spent.

Any spending below the expenditure period targets will be evaluated against the grantees time-bound expenditure plan. Any spending below these stated rates is subject to recapture of grant funds.

When spending is below the threshold described, and prior to funding recapture, OHCS and grantee agree to collaborate to find solutions that resolve the issues.

OHCS may withhold all undisbursed grant funds from grantee if OHCS determines, in its sole discretion, that grantee has failed to timely satisfy any material obligation arising under the agreement, including providing complete, accurate, and timely reports.

If grant funds are not obligated for reimbursement by grantee in a timely manner, OHCS may reduce sub-grantee’s grant funds and redistribute grant funds to other sub-grantees or retain such funds for other OHCS use, within applicable state and federal law.

**Note:** *Some OHCS grants require more aggressive spending requirements. Any such requirements supersede these thresholds.*

### **OHCS and Grantee Collaboration**

When spending is below the targets described above, and prior to funding rescission, OHCS and grantee agree to find solutions that resolve the issues, provided it is within OHCS’ control (in its sole discretion) to adjust to meet grantee’s needs and modification does not conflict with federal or state law.

Solutions for resolution may include, but not are limited to:

- OHCS will discuss best practices and training and technical assistance resources to aid in resource utilization. This could include special and discretionary funding allocations to

assist with capacity or training needs.

- If OHCS is aware of local political advocacy or engagement, OHCS will work with the grantee to ensure those parties are involved in planning discussions.
- OHCS may contact grantee to brainstorm and potentially facilitate connections with service providers or provide a list of service organizations and recommended contacts to utilize funding.
- OHCS will provide written notice to grantee to cure the spending target failures and OHCS will allow proposals from grantee to cure spending issues and prevent funding rescission. Grantee will have 15 calendar days to send grant administrator a time-bound expenditure plan for approval to demonstrate how compliance with spending targets will be achieved. OHCS may utilize any available remedies per the grant agreement up to and including recapture of funds and termination of the agreement.

## **General Fund Grant Allocations**

Standard practice for General Fund allocation for programs is to divide the biennial allocation in two, with 50% allocated in year one, and 50% allocated in year two. Grantee may submit a written request to OHCS to allocate more than 50% in year one, and OHCS will review and respond to requests on a case-by-case basis.

## **Late Term Rollovers**

Grantee can contact OHCS to update the original time-bound expenditure plan (adding rollover to the annual allocation) if the rollover is determined within 90 calendar days after the initial time-bound expenditure plan is created. These spenddown updates will be considered to be the initial time-bound expenditure plan, as long as an amended Implementation Report has not already been submitted.

## **Committed Funds**

For grants that include the category of program delivery, grantees can include these funds as part of the commitments in OPUS; however, the Spend Down Policy and remedies apply only to expended funds as identified in the OPUS “Award Summary” report.

## **Administration**

There is an expectation that administration funds will be shared with sub-grantees commensurate with the ORE-DAP services provided by sub-grantees.

**Note:** Indirect costs may be applied to the Administration category. Indirect costs typically benefit the organization as a whole and cannot be attributed specifically to a particular program. All amounts billed must be supported by actual costs.

Allowable costs include, but are not limited to:

- Senior executive management personnel salaries and benefits (unless they are directly involved in program operations), administrative staff travel costs.
- General services such as accounting, budget development, personnel, contracting, marketing, agency audit, agency insurance.
- Board expenses (excluding meals);
- Organization-wide membership fees and dues specific to homeless systems and programs.
- General agency facilities costs (including those associated with executive positions), such as rent, depreciation expenses, and operation and maintenance (as part of the organization's direct or indirect cost allocation plan);
- Equipment rental/purchase, insurance, utilities, and information technology costs that are not program specific but relate to the administration of the grantee .

Applicable Rules and Regulations

This program guidance serves as the guidelines for the OHCS ORE-DAP program and is amended from time to time along with all other references made within this manual.

## **Program Definitions**

**Discrimination:** The unjust or prejudicial treatment of different categories of people, especially on the grounds of ethnicity, age, sex, gender, or disability.

**Domestic Violence:** This definition includes domestic violence, dating violence, sexual assault, stalking, attempting to cause, or intentionally, knowingly, or recklessly causing or placing another in fear of imminent serious physical injury or emotional, mental, or verbal abuse, and using coercive or controlling behavior. This does not include other criminal acts such as violence perpetrated by a stranger, neighbor, acquaintance, or friend, unless those persons are family members, intimate partners, or household members. (Note: This definition aligns with Temporary Assistance for Needy Families (TANF) rules and regulations.

**Eviction:** The court-ordered removal of a tenant from the property where they reside. A landlord may decide to evict a tenant for nonpayment of rent, damages, illegal activity, violating the terms of a lease, or if the landlord wishes to take possession of the property.

**Eviction Prevention:** Strategies and programs designed to keep individuals and households in their homes, helping them to avoid the risk of homelessness. Eviction prevention is often seen as an “upstream” solution to keep individuals and households stably housed, to avoid them falling into unsafe housing conditions, and to avert the damaging impacts on mental and physical health, economic wellbeing, and access to future housing options that often come with evictions on record. These strategies intervene and provide support at different points in the eviction process – before an eviction is filed with the courts, during an eviction proceeding, and after an eviction judgment is given. The goal is to address the roots causes of evictions with interventions at different stages in the eviction process, tailored to meet a range of needs and circumstances.

**HMIS:** Homeless Management Information System. Victim service providers who receive ORE-DAP funding, must use an HMIS comparable database.

**Household:** An individual living alone, family with or without children, or a group of individuals who are living together as one economic unit.

**Landlord:** A person who rents land, a building, or an apartment to a tenant. In a lease, the landlord transfers part of his or her interest to the tenant, allowing the tenant to occupy and use the property. The landlord can limit the tenant’s use of the property or require the tenant to do something in the lease. However, once the lease is signed, right of entry to the property by the landlord is regulated.

**Mediation:** "A process in which a mediator assists and facilitates two or more parties to a controversy in reaching a mutually acceptable resolution of the controversy. Includes all contacts between a mediator and any party or agent of a party, until such time as a resolution is agreed to by the parties or the mediation process is terminated." (ORS 36.110[5]).

**Occupancy/Lease/Rental Agreements:** They are used for temporary or permanent housing, which includes transitional housing. Occupancy/Lease/Rental Agreements are not the same as a code of conduct agreement.

**Participant:** A household that has received an assessment of need, has been entered into ORE-DAP (intake), entered in HMIS, and receives financial assistance. A client is someone who has developed a client services/housing plan and is not receiving one-time only assistance.

**Priority Population:** Persons that the Grantee/grantee(s) has determined as having the greatest need and will receive services first (such as veterans and homeless families with children). (For example, for the purposes of Housing Stabilization Program (HSP), TANF participants are a priority as required by the federal funds.)

**Target Population:** Persons a grantee(s) wishes to reach out to who are under-represented in their

service population, but delivery of funds cannot be limited to only the target population.

**Tenant:** A person or entity who temporarily occupies or possesses real estate that belongs to a landlord.

**Veteran:**

- Served on active duty with the Armed Forces of the United States:
  - For a period of more than 90 consecutive days beginning on or before January 31, 1955, and was discharged or released under honorable conditions;
  - For a period of more than 178 consecutive days beginning after January 31, 1955, and was discharged or released from active duty under honorable conditions;
  - For 178 days or less and was discharged or released from active duty under honorable conditions because of a service-connected disability;
  - For 178 days or less and was discharged or released from active duty under honorable conditions and has a disability rating from the United States Department of Veterans Affairs; or
  - For at least one day in a combat zone and was discharged or released from active duty under honorable conditions;
- Received a combat or campaign ribbon or an expeditionary medal for service in the Armed Forces of the United States and was discharged or released from active duty under honorable conditions; or
- Is receiving a nonservice-connected pension from the United States Department of Veterans Affairs.