

# **Project Turnkey (PTK)**

## **September 27, 2022**



# **Project Turnkey Program Operations Manual**

## **Contacts**

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**Published date: September 27, 2022**

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## 1. Program Summary

**Project Turnkey (PTK)** is a program supported by State general funds from the 2022 Session of the Oregon Legislature from House Bill (HB) 5202 designed to assist people experiencing homeless or at risk of homelessness. Oregon Housing and Community Services (OHCS) has elected to use this investment to support the sheltering and homeless services needs of Oregonians by providing infrastructure, operation, and service support for emergency shelters and transitional housing as well as the supportive services for responding to homelessness. PTK grant funds are available for use under the following program service components: 1) Street Outreach; 2) Emergency and Transitional Shelter; 3) Rehabilitation or Conversion of a Shelter or Transitional Housing Facility; 4) Homelessness Prevention; 5) Rapid Rehousing; 6) Transitional Housing; and 7) Data System Expenses.

## 2. General Program Requirements

### (A) *System Wide Performance Requirements*

Grantee shall and shall cause and require its subrecipients, by written agreement, to administer the program in a manner consistent with program requirements OHCS has established the following performance measure:

Increase housing stability as measured by percentage of homeless households who exit to a positive destination.

This performance measure uses HMIS as the primary data source. This outcome measure will be in addition to reporting of required universal data elements that track participant characteristic and service data. Reporting of the performance measure is based on aggregated household data.

### (B) *Equity and Racial Justice*

OHCS is committed to advancing equity and racial justice in alignment with the Statewide Housing Plan and informed by national promising practices and lived experience of communities of color. OHCS is committed to an intentional, data-driven approach to reduce disparities in housing and social service provisions. Grantees are expected to further equity and racial justice practices by partnering with Culturally Specific Organizations (CSOs) which may include funding CSOs in a meaningful way.

Grantees must have a stand-alone policy that addresses how they will deliver OHCS-funded programs in a culturally specific way, which will include the minimum of:

- (1) Identification of how the grantee addresses any barriers identified by partnering CSOs;
  - (2) Identification of how the grantee provides funding to partnering CSOs (if applicable) that aligns with OHCS program activities;
  - (3) Identification of how grantee assists partnering CSOs bridge access to other funders and support systems;
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- (4) Identification of regularly scheduled partnership meetings with CSOs, no less than twice per fiscal year; and
- (5) Partnership agreement/MOU or other written document of partnership (as applicable to partners, inclusive of all subrecipients, vendors, contractors, who receive OHCS funding, and such agreement must include a statement that partners will follow program 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.

More information can be found at <https://www.centerforsocialinclusion.org/our-work/our-four-strategies/>, <http://center4si.com/sparc/>, and <https://www.usich.gov/news/racial-equity-an-essential-component-of-our-nations-homelessness-response/>

### **(C) *Privacy Notification***

Grantees and subrecipients must have a written document that meets the requirements of this section if provided to applicant/participant in written form, or they must have a stand-alone policy that describes how the grantee or subrecipient are providing this Privacy Notification verbally to applicants/participants.

A Privacy Notification must be provided to applicants/participants either verbally or in writing that identifies the following:

“Personally identifiable information is protected by federal laws (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 with an information sharing agreement with OHCS and are administering programs that serve the same or similar clients or populations, 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 the grantee or subrecipient that includes the Privacy Notification. If required to sign a Release of Information, in addition to the information above, such form must include a statement that:

“Refusal to sign such 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 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”.

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grantees and their subrecipients 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 subrecipients must follow state and federal laws for the collection, use and sharing of applicant/participant information.

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.

## **(D) Confidentiality**

Confidential records include all applications, records, files, and communications relating to applicants and participants of, OHCS funded services regardless of hard-copy or electronic format.

Grantees must have a stand-alone policy for the confidentiality of applicant/participant records. Such policy 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 grantees' 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:
  - Computer terminals must be located in a secure location, limiting access to only those persons who have a legitimate interest in and are responsible for applicant/participant records;
  - Computer monitors must be cleared (or a screen saver activated) immediately after accessing a(n) applicant/participant record;
  - Computer terminals must be on a "locked" mode or turned off if the terminal is unattended; and
  - Access to personally identifiable HMIS data shall be given to only authorized personnel as necessary for performing the work required for OHCS-funded programs.
- 5) A statement that all records shall be open for review to federal and state authorized representatives, and auditors and/or examiners in the course of their regular audits and monitoring functions of OHCS funded programs.

Subrecipients are required to follow the grantee's policy on Confidentiality. 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.

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## **(E) *Grievances and Appeals***

Grantees are required to have an established, written stand-alone policy for addressing applicant/participant grievances/appeal requests. Subrecipients must follow the grantee's policy. Applicants/Participants must have the right and opportunity to grieve/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; however, applicants/participants **must** receive a written notification for any decision that terminates, denies, limits, reduces or modifies any benefit. Applicants/Participants must still receive a denial notice in writing even if the reason for denial is a grantee's/subrecipient's lack of funding. At a minimum, the policy must include the following components:

- (1) Informs the participant/applicant that they can contest any grantee's or subrecipient's decision that terminates, denies, limits reduces or modifies any benefits and identifies the steps to follow to contest the decision;
- (2) Informs the participant/applicant 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) Informs 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 applicant/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) Informs the applicant/participant and OHCS in writing of the final determination and basis for the decision within ten (10) days of the final determination.

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

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

## **(F) *Nondiscrimination***

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

- 1) A statement that grantees will comply with all state, federal or 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)
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or victims of domestic violence, marital status, sexual orientation, gender identity or source of income (state):

- (a) Refuse to accept an application for housing assistance or services;
  - (b) Deny an application for housing assistance or services;
  - (c) Set different terms, conditions or privileges for housing assistance or services;
  - (d) Provide different or specific housing, facilities or services;
  - (e) Falsely deny that housing is available for inspection or rental or that services are available; or
  - (f) Deny anyone access to a facility or service.
- 2) Identifies how applicants or participants can request reasonable accommodation to access assistance or services, how that process is communicated to applicants and participants and how those requests are processed.

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 application or provide information on services or available housing to any protected class, even if these groups do not fit into your targeting strategy, is prohibited.

Screening criteria cannot be discriminatory and must be consistently applied. For example, a provider 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 who does not; however, providers must always accept the first request meeting their criteria or prioritization policy.

Subrecipients are required to follow the grantee's policy for Nondiscrimination. 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.

For more information, see the [Guide to Fair Housing for Nonprofit Housing and Shelter Providers](#) produced by the Fair Housing Council of Oregon, or contact them directly at [www.fhco.org](http://www.fhco.org).

### **(G) *Limited English Proficiency***

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

Grantee and subrecipients must identify LEP populations in their service areas and take steps to provide language assistance and address language barriers of applicants and participants.

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Grantees should minimally provide information and/or training to staff annually to ensure they understand the grantee's processes to assist LEP applicants/participants.

More information about Limited English Proficiency can be found at: <https://www.lep.gov/>.

## **(H) Conflict of Interest**

In the performance of work under PTK, grantees and subrecipients 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 subrecipient. A conflict of interest exists if, among other things, a decision or recommendation could affect the finances of the grantee or subrecipient's officers, agents or employees or the finances of their officer's, agent's or employees' relative. If a conflict of interest exists, the grantee or subrecipient'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 subrecipient officer, agency or employee may carry out the initial evaluation required to obtain services for any person in which an actual or perceived conflict of interest does or would exist.

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.

### **(1) Organizational Conflicts of Interest**

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, subrecipient or an affiliated organization.

Grantees and subrecipients cannot steer potential renters to units owned or operated by the grantee or subrecipient. Prospective tenants are free to enter into a rental contract with another landlord within the grantee or subrecipient's jurisdiction or they can choose to rent a unit owned or operated by the grantee or subrecipient.

### **(2) Individual Conflicts of Interest**

For the procurement of goods and services, grantee and subrecipient must comply with the codes of conduct and conflict of interest requirements under 24 CFR 85.36 (for governments) or 24 CFR 84.42 (for private nonprofit organizations).

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 subrecipient agency. No person who exercises or has exercised any functions or responsibilities with respect to activities assisted under the programs, or who is in a position to participate in decision-making processes or gain inside information with regard to activities assisted under the programs, can obtain a financial interest or benefit from an assisted activity; have a financial interest in any contract, subcontract or agreement with respect to an assisted activity; or have a financial interest in the proceeds derived from an assisted activity, either for him or herself or for those with

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whom he or she has a family or business tie, during his or her tenure or during the one-year period following his or her tenure.

**(I) *Monitoring***

OHCS will conduct a program monitoring of grantees every two years or more frequently at OHCS' discretion. OHCS program monitoring may include desk audit, site visit and/or site visit with subrecipients (or subrecipient organization's subrecipient). Fiscal monitoring will be conducted every two years unless circumstances and/or risk assessment require less or more frequent monitoring at OHCS' discretion. Grantees will be notified thirty (30) days in advance of monitoring visits 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 funds to OHCS or other remedies as described in the grantee's grant agreement with OHCS.

**(J) *Subrecipient Monitoring***

For the purposes of this operations manual the term "subrecipient" shall mean any grantee's subcontractors, contractors, vendor, subrecipients and any subcontractors, contractors, vendors or subrecipients of a subcontractor, contractor, vendor or subrecipient. Subrecipients must follow program intent, rules and guidelines for the expenditure of funds.

**All subrecipients must comply with all applicable program rules and regulations as noted in this manual and the OHCS Grant Agreement. Records of subrecipient monitoring performed by the grantee or subrecipient will be reviewed during OHCS monitoring.** Subrecipient 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 will monitor the activities and expenditures of its subrecipients to ensure:

- (1) compliance with grantee's OHCS Grant Agreement and program rules and requirements; and
- (2) achievement of performance goals.

Grantee's monitoring of its subrecipients must include:

- 1) an evaluation of each subrecipient's risk of non-compliance with rules, regulations, and terms and conditions of any applicable subaward for purposes of determining the appropriate level and type of subrecipient monitoring;
  - 2) a review of financial and performance reports;
  - 3) a review of subrecipient policies and procedures, forms, documentation, client records including eligibility, notifications and documentation; and
  - 4) follow-up on all deficiencies pertaining to any OHCS funding in accordance with all program rules and regulations.
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### 3. Applicant Eligibility

#### (A) *Household Composition*

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

#### (B) *Housing Status*

Homeless and unstably households are eligible to receive **PTK** funded services. Eligible applicants for program services must meet one of the following categorical definitions of homeless or unstably housed and 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); **OR**
- 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 he or she 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 homeless assistance; **AND**
- 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 Other Federal Statutes**—Unaccompanied youth under 25 years of age, or families with children and youth, who do not otherwise qualify as homeless under this definition, (literally homeless, imminent risk of homelessness or fleeing/attempting to flee domestic violence) but who:

- Are defined as homeless under other listed federal statutes; **AND**
  - Have not had a lease, ownership interest, or occupancy agreement in permanent housing during the 60 days prior to the program assistance application; **AND**
  - 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.
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1) Other Federal Statutes include:

- Runaway and Homeless Youth Act (42 U.S.C. 5701 et seq.),
- Head Start Act (42 U.S.C. 9831 et seq.),
- Subtitle N of the Violence against Women Act of 1994 (42 U.S.C. 14043e et seq.) (VAWA),
- Section 330 of the Public Health Service Act (42 U.S.C. 254b),
- Food and Nutrition Act of 2008 (7 U.S.C. 2011 et seq.),
- Section 17 of the Child Nutrition Act of 1966 (42 U.S.C. 1786), and
- Subtitle B of title VII of the McKinney-Vento Act (42 U.S.C. 11431 et seq.)

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

- Is fleeing, or is attempting to flee, domestic violence; **AND**
- 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 rent-burdened, defined as paying more than 30% of their gross income in rent (documented income/rent amount); **OR**
- Is currently paying more than the Fair Market Rent, defined by HOME FMRs (<https://www.oregon.gov/ohcs/compliance-monitoring/Pages/rent-income-limits.aspx>) (documented rent amount); **OR**
- Is at risk of losing their housing, and does not otherwise qualify as homeless or imminent risk 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 (rationale for high risk of losing current housing must be documented and kept in the client file); **AND**
  - Lack the resources or support networks to obtain other permanent housing (must be evidenced by documentation in the client file).

### **(C) Income**

PTK-provided services require applicants/participants to be low-income; i.e., gross household income at or below 80% of area median income.; however, there are no income requirements for a participant when the participant is staying in a grantee's emergency shelter.

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 must be identified to determine that a program applicant lacks the resources to obtain or retain permanent housing, if using the unstably housed housing status, they are generally not counted as income, unless an income is derived from such assets (such as dividends on investments).

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Grantee's process for determining income eligibility and the documentation required must be consistent with OHCS program requirements.

Grantees' policies and procedures must identify what method they will use to calculate income eligibility and income eligibility must be calculated consistently between applicants of the same program. Subrecipients are required to follow the grantee's policy on income calculation and documentation. Documentation methods may include:

- Previous 12 months of income;
- Year-to-date income divided the number of months included in the year-to-date income; or
- Previous 30 days (or the previous 60 days or other specified period of days) of income.

*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 of time 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 as a means to avoid accounting for income.

- (1) **Standardization:** Grantees/subrecipients 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/subrecipient must be consistent in how income calculation standards are applied, even if that means it excludes someone from being able to be assisted. Grantee/subrecipient 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
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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/subrecipient policy as well as documented in the client 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:
    - i. Is determined to be essential to the care and well-being of the household member;
    - ii. Is not obligated for the support of the household member;
    - iii. Would not be living in the unit except to provide the necessary supportive services; and
    - iv. Provides documentation of payment for the live-in aide services provided to the household.
- (6) Child tax credits, Earned Income Tax Credits, Stimulus Payment 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 form used for a Business, 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 in the Income Inclusions and Exclusions form.

#### **(D) *Citizenship***

There is no applicant/participant citizenship requirement to be eligible for PTK-funded assistance.

#### **(E) *Oregon Residency***

Services must be provided to those residing and intending to reside within the state of Oregon; however, there is no length of time prior to receiving services or financial assistance in which a participant had to have been a resident in the state of Oregon.

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If a household's documented housing status is Category 4, Fleeing Domestic Violence, PTK can be used for eligible categorical costs associated with moving out of Oregon to a safe location, providing that there is documentation in the client's file that the client's destination has been confirmed as an available safe, housing option and that no funds are used for rent, hotel/motel, utilities or other services in a state other than Oregon. Such allowable costs are restricted to moving costs.

**(F) Eligibility Documentation**

*[also see Records Section of this Manual]*

(1) Documentation of all participant/applicant eligibility information must be available in participant/applicant files or if kept electronically, available upon request in the format requested. Documentation of all efforts to obtain higher preference of verification (Third party and Intake Worker/Case Manager Observation) when lower forms of preference are used, must be in writing and kept in the participant/applicant file.

(2) **Remote Application and Documentation**

The standard preference is for applicants/participants to apply for assistance in person or to have in-person contact with the grantee or subrecipient throughout the application and service delivery process. A remote application and documentation process can be used when necessitated; however, the identity of the applicant/participant must be verified.

Applicants/participants who apply for assistance and provide eligibility or other documentation remotely can do so via electronic and other communication; e.g., phone, email, text, electronic messaging, mail and other electronic or remote means. Eligibility and other documentation must be kept in each applicant/participant file to meet eligibility and monitoring requirements.

Grantees must have a stand-alone policy for the use of a remote application and eligibility documentation process. Subrecipients must follow the grantee's policy. Such policy must be applied equitably across services that use or are supported by OHCS funding and where allowed by the funding source. 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.

The grantee's Remote Application and Documentation policy must address the following elements:

- a) In what circumstances a remote application and documentation process will be used;
  - b) How the verification of the identity of the applicant is ascertained;
  - c) How the verification and documentation of qualification for assistance in relation to program eligibility criteria are ascertained;
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- d) When remote verification and documentation is appropriate for ongoing demonstration of eligibility; and
- e) How notifications are provided to applicant/participant, inclusive of privacy notification and grievance/appeal notification.

(3) **Order of Preference**

OHCS requires program staff to comply with the following general documentation standards listed in the following order of preference:

- **Third-Party documentation**, source documents by an outside source, is the preferable form of documentation. Third-party documentation includes a written statement or document from an employer, landlord, public benefit worker, agency service provider, etc. Written verification sent directly to program staff or via the applicant/participant is preferred.
- **Intake/Case Manager Worker Observation**, documented by grantee/subrecipient staff includes oral statements made by a social worker, case manager, or other appropriate official at an institution, shelter, or other facility and documented by the program intake worker/case manager. When the intake worker/case manager is unable to obtain a written or oral statement from a shelter, institution or facility staff, the intake worker/case manager must document, in writing, their efforts to obtain eligibility documentation and must place their documentation in the applicant/participant's file.
- **Applicant/Participant Self-Certification**, applicant/participant signed document certifying eligibility, requires a written and signed document by the individual or head of household seeking assistance attesting to the eligibility facts for which they are certifying. A third-party can be designated by an applicant/participant to sign documents on their behalf when they are unable to do so. It is the responsibility of the grantee and subrecipient to provide access to language interpretation services and assistive devices necessary for applicants/participants to understand the documents they are certifying. Self-certification documentation is only used when documented staff efforts verify that third-party or intake worker/case manager observation documentation is not available. However, lack of third-party documentation must not prevent an individual or household from being immediately admitted to emergency shelter, receiving street outreach services or immediately accessing domestic violence/victim service shelter and assistance.

## 4. Allowable Program Components and Expenditures

Documentation of allowable program components and expenditures must identify how an expense or service helped a participant maintain or attain permanent housing.

PTK can be used in **one or more** of the following program components, where the program allows:

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- (A) [Street Outreach](#)
- (B) [Emergency & Transitional Shelter](#)
  - a. Shelter and Facility Operations (inclusive of motel/hotel vouchers)
  - b. Shelter Resident Support Services
- (C) [Transitional Housing](#)
- (D) [Homelessness Prevention & Rapid Re-Housing](#)
- (E) [Shelter or Transitional Housing Facilities Rehab/Conversion](#)
  - a. [Distinguishing Between Maintenance and Rehab/Conversion](#)
- (I) [Data System Expenses](#)
- (J) [Gift Cards](#)

**(A) *Street Outreach***

PTK funding can pay for street outreach services. Street Outreach is service delivery that targets unsheltered homeless individuals and households. Street outreach includes reaching out to people who **do not otherwise seek assistance**. Street outreach involves going outside of the agency to connect with individuals and households where they build rapport and meaningfully engage with them. Street outreach includes connecting with individuals and households experiencing homelessness who may be disconnected or alienated from supports and services and is focused on moving people into permanent housing without preconditions for receiving assistance.

OHCS encourages the use of multi-disciplinary approaches and partnerships with culturally specific, healthcare-focused or other specialty outreach services. Leveraging various fund sources to pay for health services, such as through Medicaid, should be explored whenever possible. It is expected that any health professionals providing specialty outreach services have proper credentialing and licensure through relevant governing bodies (e.g., OHA, MHACBO).

**Requirements for the delivery of Street Outreach:**

- (1) Employs engagement strategies focused on building rapport.
    - Includes basic assessment of needs that engages with the individual or household to get an understanding of factors related to immediate health and basic needs, vulnerabilities, and risks, and any other related factors. This does not necessarily need to be a formalized assessment tool and completing an assessment tool (such as coordinated entry assessment) is not a precondition for receiving street outreach services.
  - (2) Safety in service delivery – the grantee must have a written policy (such policy must be made available to OHCS upon request and subrecipients are required to follow the grantee’s policy) 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 code words to signal threats to safety to teammates unbeknownst to others.
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- The office or clinic (e.g., team members not in the field) should always know the location of outreach teams. This means keeping to a set schedule, but there are also certain phone applications that can broadcast one's location; many smartphones have this function built-in.
  - Surveil outreach sites before you send out teams. Some communities use peer specialists or even trusted clients in the community to identify whether certain areas are too risky. Once providers are on-site, that person provides situational awareness. Having staff who have experienced unsheltered homelessness as part of the street outreach team is good practice.
  - Wear matching clothing, ideally in bright colors, so your 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.
  - 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.
  - Weapons and mace are tempting aids, but they only serve to escalate the situation if used on people.
  - Create time and space for street outreach teams to debrief and process any threatening events. Trauma-informed supervision of outreach personnel is essential.
- (3) Works toward connecting participants with local Coordinated Entry systems and as a means of connecting participants to available permanent supportive housing opportunities, if participant has this need (coordinated entry is not a requirement for the use of PTK funds).
  - (4) Services are person centered, trauma informed, culturally responsive and meet requirements of non-discrimination guidelines.
  - (5) Staff receive appropriate training and safety practices, harm reduction and trauma informed care.
  - (6) Use of street outreach funds to provide safety/comfort resources (such as tarps, sleeping bags, etc.) is allowable, however, the goal must be the connection to permanent housing and grantee/subrecipient must utilize donations and other available resources for purchasing these materials prior to using state funds.
  - (7) Data entry - all street outreach services must be entered into HMIS

**Allowable Costs for Street Outreach include:**

- (1) Assessment, enrollment, data entry – conducting an initial assessment of applicant basic needs and eligibility, conducting a coordinated entry assessment (if needed) and data entry into HMIS;
  - (2) Safety & Comfort Resources such as food, tarps, sleeping bags, clothing, blankets, tents, toiletries are allowed; however, this must not be the sole strategy for street outreach services and such items must be limited and provided as a means of building
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rapport with homeless individuals to connect them to shelter, permanent housing options and additional health and human services;

- (3) Providing crisis counseling;
- (4) Assessing emergent health, behavioral and mental health needs and connecting and/or referring participants to these services;
- (5) Collaboration with health, behavioral and mental health service providers to connect with street outreach households in the field;
- (6) Connect street outreach households to appropriate shelter services where basic needs can be met, such as access to shower, laundry, food services and other shelter resources and services;
- (7) Organizational costs for developing Homeless Connect events;
- (8) Marketing and outreach costs inclusive of written materials, translation and interpretation services;
- (9) Cell phone costs for outreach workers; and
- (10) Travel expenses incurred by outreach workers or in conjunction with outreach workers, social workers, medical professionals or other service agency employees during the provision of allowable street outreach services

**Unallowable Costs for Street Outreach include:**

- (1) Cash or cash-equivalent funds provided to applicants/participants

**(B) *Emergency and Transitional Shelter***

**(1) FREE STANDING TEMPORARY SHELTER**

Free-Standing Temporary Shelter (FSTS), also known as tiny homes and pallet shelters, are a type of alternative shelters that do not include a foundation and are allowed under the definition of Shelter Operations as an equipment purchase. Prior OHCS approval of the purchase of FSTS is not the same as the OHCS Rehab/Renovation process. The process to receive approval for the purpose of Free Standing Temporary Shelters is to complete a FSTS pre-approval application, located on the HSS Dashboard, which is targeted for different types of grantee contract/agreement. The application includes completing information on your purchase process, site location, amenities on site which is inclusive of utilities, waste management, food service, and public safety strategy, as well as your shelter operation plan.

For information and instruction and a How To Guide on Building a Shelter Community, visit [www.palletshelter.com](http://www.palletshelter.com).

**(2) SHELTER FACILITY OPERATIONS**

PTK funding can pay for emergency and transitional shelter facility operations. Emergency/Transitional Shelter Operations are those costs associated with maintaining and operating emergency or transitional shelter facilities whose primary

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purpose is to provide temporary or transitional shelter to the general homeless or specific populations of the homeless.

**Requirements for the delivery of Shelter Operations:**

- (a) Grantees must have an animal policy in place to ensure the safety and welfare of all residents, if animals are accepted at the shelter facility, and such policy must be available to OHCS upon request. If applicable, subrecipients must follow the grantee's policy. An animal safety policy must include:
  - i. What type of pet is acceptable and if there are any restrictions on particular breeds;
  - ii. How many pets are acceptable (per person or per shelter limitation);
  - iii. Whether muzzles or leashes are required and when;
  - iv. Requirements on waste clean-up;
  - v. What happens when guidelines are not met;
  - vi. If there are any animal facilities (such as kennels) available, what are the rules to use them; and
  - vii. If there are any requirements for cleanliness of animal or proof of current vaccinations/shots
- (b) Hotel/Motel vouchers can be used as an emergency shelter strategy when there is a lack of available emergency shelters in the grantee's/subrecipient's service area.
- (c) Emergency shelter participants and persons receiving hotel/motel vouchers as an emergency shelter strategy must have the same access to essential services delivered by the grantee and subrecipient and/or provision of information and referral to other service providers. Essential services include: case management; child care; education services, employment assistance and job training; outpatient health services; legal services; life skills training; mental health services; substance abuse treatment services; transportation; services for special populations and mainstream income and health benefits where appropriate.
- (d) When hotel/motel voucher is used as an emergency shelter strategy, damages to a hotel/motel unit that occurred while the participant was in residence of that unit can be an allowable cost of shelter operation when expenses are **reasonable and specifically itemized** by the hotel/motel voucher facility and would not be allowable if such expenses were not reasonable and specifically itemized. Such documentation must be kept in the participant's file.
- (e) Hotel/motel costs, when used as an emergency shelter strategy, includes wi-fi costs as part of the room fee, if charged separately; however, no other incidental costs are covered, such as movie rentals, room service, long-distance phone calls, etc.

**Allowable Costs for Shelter Operation:**

- (a) Lease or rent payments for shelter facility;
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- (b) Utilities (includes water, sewer, garbage, gas, electricity, internet, phone) for shelter facility;
- (c) Security equipment or service to operate shelter facility;
- (d) Janitorial supplies and service to operate shelter facility;
- (e) Facility management (staff costs for a facilities manager to manage day-to-day operations necessary to ensure a physical environment also supports a shelter's needs and core function);
- (f) Minor maintenance/repairs to facility (see this manual for more information);
- (g) Furnishings for shelter facility;
- (h) Food for congregate shelter facility settings; and
- (i) Costs to board and care for shelter residents' animals, such as boarding costs, kennels, leashes, food, toys, veterinary services not available or inaccessible within the community (such costs must be limited and reasonable).

### **(3) SHELTER FINANCIAL ASSISTANCE**

**PTK** funding can be used for Financial Assistance. Financial assistance are those costs paid on behalf of the participant and that meet the financial needs of the participant to facilitate transitioning out of shelter into more stable housing.

#### **Requirements for the delivery of Shelter Financial Assistance**

- a) **Client Non-Categorical Services** are the rare provision of goods or payments of expenses not included in other allowable expense categories, which directly help a household to obtain or maintain permanent housing or meet a unique **essential** household need, as documented in the client service or housing plan. Consumer debt payments are not allowed as a client non-categorical service. Client Non-Categorical Service payment cannot be made for expenses already allowed in a program category and cannot be used as a means of giving funds directly to a client when a landlord or utility is uncooperative or as a means of covering an unallowable expense. Client Non-Categorical Services is not a cash or cash-equivalent payment to a client and such use is unallowable. Prior approval by the case manager's supervisor is required before goods or payments are delivered.
  - b) **Pet Deposit** means a security deposit required by a landlord in order to house an individual or family. This does not include a pet deposit for clients during an existing rental/lease agreement. Pet deposits are limited to one pet. Pet deposit does not include repayment of any damages caused by a pet. Other sources of non-OHCS funding must be deferred to first and pet deposit assistance is only eligible when other sources of non-OHCS funds cannot be obtained and providing a pet deposit is necessary, and documented in the participant file, to ensure stability in housing.
  - c) **Pet Rent** means a monthly rent charged for a pet and required by the landlord through a rental/lease agreement, which must be included in the client file for purposes of documentation.
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- d) **Rent arrearage** means past due rent owed to a current landlord. Payment of arrears is restricted to 6 months past due rent, per calendar year. Grantees have the discretion to limit payments for rent arrearage with a policy that details such further restrictions and their purpose, and identification of how those restrictions are communicated to the participants (such policy must be made available to OHCS upon request). Subrecipients must follow the grantee's policy.
  - e) **Rental-related expenses** include other expenses incurred such as filing fees, property damage, court fees or lease break fees to a previous landlord (or collection agency) **when being required by a prospective landlord**, with a case manager's supervisor's approval. Fund cannot be used for debt payment. There must be **documented evidence** from the prospective landlord that payment of the arrears is necessary for the participant to obtain permanent housing and maintain stability in that housing and a unit must be lined up and available for the participant's occupancy if such arrears are to be paid.
  - f) **Utility arrearage** assistance is past due utilities and can only be provided when there is documented evidence of a utility bill in the participant's name. If arrears are owed to a previous utility company or to a collection agency, these arrears can be paid, but only when there is **documented evidence** that payment of the arrears is necessary for the participant to obtain or retain utility service. Payment of utility arrears to a previous utility company or to a collection agency must result in the utilities remaining on or the connection/reconnection of utility service. Documentation in the client file must show the steps taken to defer to other utility assistance first. Utility deposit assistance may only be provided when there is documented evidence of the requirement of the deposit, the utility will be in the client's/participant's name and shows the steps taken to defer to other utility assistance first.
  - g) If using funds for **storage fees** of personal items, such use of funds must be not more than three months of storage rent and provided as a means of securing a homeless person's belonging while obtaining permanent housing. Such households must be actively in the process of obtaining permanent housing and are awaiting placement in their home.
  - h) **Moving costs** can be provided to secure the rental of a moving van/truck and could include a transportation payment in alignment with transportation guidelines. In cases where need is demonstrated, moving costs can cover the professional expenses of a contracted moving company. Moving costs do not include cash or gift cards, except as provided in the transportation guidelines. In circumstances in which a client meets the definition of fleeing domestic violence and there are safety concerns with remaining in Oregon, moving costs can be used to assist the client to safely move to another state; however, the client file must have written documentation that a safe place is available in the destination state and such allowability must be in alignment with the client's service/housing plan. This allowability does not extend to paying an out-of-state landlord for rent, security deposit, application fees, etc., and only encompasses moving costs.
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- i) **Transportation** costs, such as gas vouchers, Uber/Lift/Cab fares, car repairs/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 repairs/gas/insurance for a client's personal vehicle. Case managers must document why a client'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 client are not allowed. Client must have a valid driver's license.

OHCS 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 in order 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. Subrecipients must follow the grantee's policy. For example, repair to a vehicle might be preferable to a bus pass if the community does not have public transportation or if the client works at night when public transportation is not operational.

Transportation does not include insurance to pay for roadside assistance (such as a 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.

**A Private Vehicle Costs policy must include:**

- I. Dollar limitation per participant and frequency of such limitation (e.g., once per biennium);
- II. Number of months limitation per participant for insurance costs;
- III. Identification on what factors are used to determine whether such costs are preferable to public transportation; and
- IV. Identification of how justification of expense and documentation of that justification is performed. Participant files must include such documentation.

**Allowable Costs for Shelter Financial Assistance:**

- (a) Housing relocation (e.g., rent payments (inclusive of first, last, rent arrears, pet rent, and if accepted by landlord as an incentive, forward rent), and, manufactured home rental space "lot rent", application fee, security deposit, pet deposit, utility arrears, utility deposit, storage fees);
  - (b) Rental-related expenses;
  - (c) Moving costs (van/truck rental);
  - (d) Purchase of identification and driver's license;
  - (e) Purchase of birth certificates;
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- (f) Clothing as needed for those fleeing domestic violence or for job search or job readiness and which cannot be obtained by other community resources;
- (g) Transportation costs, such as gas vouchers, Uber/Lift/Cab fares, car repairs/insurance; and
- (h) Client non-categorical services.

**Unallowable Costs for Shelter Financial Assistance:**

- a) Food;
- b) Cash or cash-equivalent funds provided to applicants/participants; and
- c) Participant debt payment

**(4) SHELTER PROGRAM DELIVERY**

PTK funding can be used for Shelter Program Delivery. Shelter Program Delivery are those costs associated with providing services to facilitate shelter resident's transition out of shelter into more stable housing.

**Allowable Costs for Shelter Program Delivery**

- (a) Intake, data entry into HMIS;
- (b) Case management including pre-eligibility determination for housing and other needed services;
- (c) Housing navigation assistance;
- (d) Crisis intervention/counseling;
- (e) Education and training in such areas as personal finance and budgeting, job search and access to job training, life skills, and literacy;
- (f) Assistance in completing/submitted applications for other state/federal benefits (SSI/SSDI, TANF, SNAP, Unemployment, etc.);
- (g) Referrals and/or "warm hand-offs" to counseling, addiction and mental health services;
- (h) Mediation between client and landlord;
- (i) Tenant readiness education; and
- (j) Maintenance costs associated to assist a unit pass an HQS inspection, this does not include major repair/rehabilitation costs (see the Rehabilitation/Conversion/Renovation Section of this manual)

**(C) *Transitional Housing***

PTK funding can be used for Transitional Housing. Transitional Housing facilitates a homeless household's transition to permanent housing and is offered to participants for a reasonable amount of time (usually less than 24 months). Transitional Housing is designed to provide interim support to successfully move a participant to, and help them maintain, permanent housing. Transitional Housing will require program participants to sign either a lease or an occupancy agreement and requires participants to pay some portion of the rent. Transitional Housing is not the same as Transitional Shelter, which requires no lease/occupancy agreement.

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**(1) TRANSITIONAL HOUSING OPERATIONS**

**PTK** funding can be used for Transitional Housing Operations. Transitional Housing Operations are those costs associated with maintaining and operating Transitional Housing facilities whose primary purpose is to provide housing to the general homeless or specific populations of the homeless while they perform activities that increase their ability to obtain permanent housing.

**Requirements for the delivery of Transitional Housing Operations:**

- (a) Transitional Housing tenancy should be limited to less than 24 months. If more than 24 months of tenancy is needed, the client file must document the reason and a clear plan of action to move the client to permanent housing which includes time-bound activities.

**Allowable Costs for Transitional Housing Operations**

- (a) Lease or rent payments for transitional housing facility;
- (b) Utilities (includes water, sewer, garbage, gas, electricity, internet, phone) for transitional housing facility;
- (c) Security equipment or service to operate transitional housing facility;
- (d) Janitorial supplies and service to operate transitional housing facility;
- (e) Facility management (staff costs for a facilities manager to manage day-to-day operations necessary to ensure a physical environment supports a transitional housing's needs and core function);
- (f) Minor maintenance/repairs to facility (see the Rehabilitation/Conversion/Renovation Section of this manual); and
- (g) Furnishings for transitional housing facility, if included as part of the unit.

**(2) TRANSITIONAL HOUSING FINANCIAL ASSISTANCE**

**PTK** funding can be used for Financial Assistance. Financial Assistance are those costs paid on behalf of the participant and that meet the financial needs of the participant to facilitate transition out of transitional housing and into permanent housing.

**Requirements for the delivery of Transitional Housing Financial Assistance**

- a) Paying a **tenant's share** of transitional housing placement is not allowed. A purpose of the transitional housing service model is working with participants on building ownership and responsibility in paying housing costs which means having the income necessary to do so. Programs often have graduated rent share levels or do income proportional requirements, etc., so outright paying the tenant's portion of rent is counterproductive to service delivery. Grantees and subrecipients can employ different degrees and approaches for flexibility so if there's a month where a participant is unable to pay rent, the transitional housing provider can reassess the current participant's income/rent ration. Grantees and subrecipients must have a policy in place on income/rent formula reassessments and such policy must be available to OHCS upon request.

**A Transitional Housing Formula Reassessment policy must include:**

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- I. Frequency of income/rent ratio formula reassessments or what event(s) trigger a reassessment
  - II. Any limitation on frequency of reassessments
  - III. Methodology of formula for reassessment
  - IV. A statement that formula reassessments are used consistently between participants.
- b) **Client Non-Categorical Services** are the rare provision of goods or payments of expenses not included in other allowable expense categories, which directly help a household to obtain or maintain permanent housing or meet a unique **essential** household need, as documented in the client service or housing plan. Consumer debt payments are not allowed as a client non-categorical service. Client Non-Categorical Service payment cannot be made for expenses already allowed in a program category and cannot be used as a means of covering an unallowable expense. Client Non-Categorical Services is not a cash or cash-equivalent payment to a client and such use is unallowable. Prior approval by the case manager's supervisor is required before goods or payments are delivered.
- c) **Pet Deposit** means a security deposit required by a landlord in order to house an individual or family. This does not include a pet deposit for clients during an existing rental/lease agreement. Pet deposits are limited to one pet. Pet deposit does not include repayment of any damages caused by a pet. Other sources of non-OHCS funding must be deferred to first and pet deposit assistance is only eligible when other sources of non-OHCS funds cannot be obtained and providing a pet deposit is necessary, and documented in the participant file, to ensure stability in housing.
- d) **Pet Rent** means a monthly rent charged on a pet and required by the landlord through a rental/lease agreement, which must be included in the client file for purposes of documentation.
- e) **Rent arrearage** means past due rent owed to a current landlord. Payment of arrears is restricted to 6 months past due rent, per calendar year. Grantees have the discretion to limit payments for rent arrearage with a policy that details such further restrictions and their purpose, and identification of how those restrictions are communicated to the participants (such policy must be made available to OHCS upon request) Subrecipients must follow the grantee's policy.
- f) **Rental-related expenses** include other expenses incurred such as filing fees, property damage, court fees or lease break fees to a previous landlord (or collection agency) **when being required by a prospective landlord**, with a case manager's supervisor's approval. There must be **documented evidence** from the prospective landlord that payment of the arrears is necessary for the participant to obtain permanent housing and maintain stability in that housing and a unit must be lined up and available for the participant's occupancy if such arrears are to be paid.
- g) **Utility arrearage** assistance is past due utilities and can only be provided when there is documented evidence of a utility bill in the participant's name. If arrears are owed to a previous utility company or to a collection agency, these arrears can
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be paid, but only when there is documented evidence that payment of the arrears is necessary for the participant to obtain or retain utility service. Payment of utility arrears to a previous utility company or to a collection agency must result in the utilities remaining on or the connection/reconnection of utility service. Documentation in the client file must show the steps taken to defer to other utility assistance first. Utility deposit assistance may only be provided when there is documented evidence of the requirement of the deposit, the utility will be in the client's/participant's name and shows the steps taken to defer to other utility assistance first.

- h) **Transportation** costs, such as gas vouchers, Uber/Lift/Cab fares, car repairs/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 repairs/gas/insurance for a client's personal vehicle. Case managers must document why a client'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 client are not allowed. Client must have a valid driver's license. OHCS 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 in order 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. Subrecipients must follow the grantee's policy.

**A Private Vehicle Costs policy must include:**

- I. Dollar limitation per participant and frequency of such limitation (e.g., once per biennium);
- II. Number of months limitation per participant for insurance costs;
- III. Identification on what factors are used to determine whether such costs are preferable to public transportation; and
- IV. Identification of how justification of expense and documentation of that justification is performed. Participant files must include such documentation.

**Allowable Costs for Transitional Housing Financial Assistance:**

- (a) Housing relocation (upfront housing costs related to relocation such as rent arrears, first/last month's rent, application fee, security deposit, pet deposit, pet rent, utility arrears, utility deposit);
  - (b) Rental-related expenses;
  - (c) Purchase of identification and driver's license;
  - (d) Purchase of birth certificates;
  - (e) Clothing as needed for those fleeing domestic violence or for job search or job readiness and which cannot be obtained by other community resources;
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- (f) Transportation costs, such as gas vouchers, Uber/Lift/Cab fares, car repair/insurance; and
- (g) Client non-categorical services.

**Unallowable Costs for Transitional Housing Financial Assistance:**

- a) Food;
- b) Cash or cash-equivalent funds provided to applicants/clients; and
- c) Participant debt payment.

**(3) TRANSITIONAL HOUSING PROGRAM DELIVERY**

**PTK** funding can pay used for Transitional Housing Program Delivery. Transitional Housing Program Delivery are those costs associated with providing services that facilitate a participant's transition out of transitional housing and into permanent housing.

**Allowable Costs for Transitional Housing Program Delivery**

- (a) Intake, data entry into HMIS;
- (b) Case management including pre-eligibility determination for housing and other needed services;
- (c) Housing navigation assistance;
- (d) Crisis intervention/counseling;
- (e) Education and training in such areas as personal finance and budgeting, job search and access to job training, life skills, and literacy;
- (f) Assistance in completing/submitting applications for other state/federal benefits (SSI/SSDI, TANF, SNAP, Unemployment, etc.);
- (g) Referrals and/or "warm hand-offs" to counseling, addiction and mental health services;
- (h) Mediation between client and landlord;
- (i) Tenant readiness education; and
- (j) Maintenance costs associated to assist a unit pass an HQS inspection, this does not include major repair/rehabilitation costs (see the Acquisition/Rehabilitation Sections of this manual).

**(D) *Homelessness Prevention and Rapid Re-Housing***

**PTK** can be used to support Homelessness Prevention and Rapid Re-Housing activities.

**Homelessness Prevention (HP)** are those services performed to prevent homelessness and assist a participant in remaining in their current housing. Homelessness Prevention is used when a household's housing status is at imminent risk of homelessness (category 2) or unstably housed (category 5).

**Rapid Re-Housing (RRH)** are those services performed to enable households to obtain permanent housing when they are currently homeless. Rapid Re-Housing is used when a

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household's housing status is literally homeless (category 1), homeless under other federal statutes (category 3) or when a household is fleeing or attempting to flee a domestic violence situation (category 4).

## **1) HP/RRH FINANCIAL ASSISTANCE**

HP/RRH FA are those costs paid on behalf of a participant to meet the financial need of the participant.

### **Requirements of HP/RRH Financial Assistance**

- a) **Utility assistance** programs must be deferred to first, utility assistance is only eligible when other utility assistance cannot be obtained and payment of utility assistance is in the context of, and documented in, an action plan or goal designed to increase housing stability, along with documentation of the steps taken to defer to other utility assistance first.
- b) **Utility arrearage** assistance is past due utilities and can only be provided when there is documented evidence of a utility bill in the participant's name. If arrears are owed to a previous utility company or to a collection agency, these arrears can be paid, but only when there is documented evidence that payment of the arrears is necessary for the participant to obtain or retain utility service. Payment of utility arrears to a previous utility company or to a collection agency must result in the utilities remaining on or the connection/reconnection of utility service. Documentation in the client file must show the steps taken to defer to other utility assistance first. Utility deposit assistance may only be provided when there is documented evidence of the requirement of the deposit, the utility will be in the client's/participant's name and shows the steps taken to defer to other utility assistance first.
- c) **Phone services** must be in the participant's name and must only be provided for one line of service (either landline or cellular line) per household and only when such billing statement clearly identifies the costs of a single line of service or such cost can be ascertained from the phone service provider.
- d) **Internet-related fees and taxes, equipment** (modem/router) rental fees are allowed and must be capped at no more than \$300 per biennium and must be in the participant's name. Grantees and subrecipients must attempt to obtain a participant's documentation or perform outreach to the internet provider to acquire monthly internet service costs; however, if either of these options are unduly burdensome, the grantee must have a policy that applies a reasonable process to determine the amount of the bill that is applicable to the internet costs; however, total internet assistance cannot exceed \$300 per funding biennium. Subrecipients must follow grantee's policy. Such policy must be available to OHCS upon request.

Internet providers retain a "price list" which can be requested to determine the separate costs for each type of service which will provide grantees/subrecipients a reasonable process to determine the amount to be paid. In addition, the Affordable Connectivity Program (ACP) is a Federal Communications Commission (FCC) program that helps low-income households pay for internet service and connected

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devices. If eligible, a household can receive up to \$30/month discount on internet service; up to a \$75/month discount if the household is on qualifying tribal lands; and a one-time discount of up to \$100 for a laptop, tablet, or desktop computer (with a co-payment of more than \$10, but less than \$50. More information can be found at: <https://acpbenefit.org/>)

- e) **Pet Deposit** means a security deposit required by a landlord in order to house an individual or family. This does not include a pet deposit for clients during an existing rental/lease agreement and is not allowable under homelessness prevention. Pet deposits are limited to one pet. Pet deposit does not include repayment of any damages caused by a pet. Other sources of non-OHCS funding must be deferred to first and pet deposit assistance is only eligible when other sources of non-OHCS funds cannot be obtained and providing a pet deposit is necessary, and documented in the participant file, to ensure stability in housing.
  - f) **Pet Rent** means a monthly rent charged on a pet and required by the landlord through a rental/lease agreement, which must be included in the client file for purposes of documentation.
  - g) **Rent arrearage** means past due rent owed to a current landlord. Rent arrears is only allowable for Homeless Prevention Payment of rent arrears is restricted to 6 months past due rent, per calendar year. Grantees have the discretion to limit payments for rent arrearage with a policy that details such further restrictions and their purpose, and identifies how those restrictions are communicated to the participants (such policy must be made available to OHCS upon request) Subrecipients must follow grantee's policy.
  - h) **Rental-related expenses** include other expenses incurred such as filing fees, property damage, court fees or lease break fees to a previous landlord (or collection agency) **when being required by a prospective landlord**, with a case manager's supervisor's approval; however, total expenses cannot exceed 6 months of the rent amount charged at the previous unit. There must be **documented evidence** from the prospective landlord that payment of the arrears is necessary for the participant to obtain permanent housing and maintain stability in that housing and a unit must be lined up and available for the participant's occupancy if such arrears are to be paid.
  - i) **Rent/Lease-to-Own**. When a homelessness prevention tenant is under a rent/lease-to-own contract, a contractual monthly payment (or arrears per this manual's guidance) is allowable to keep a tenant from being homeless; however program funds may not be used to enter into a rent/lease-to-own contract.
  - j) Rapid Re-Housing funds can be used for **storage fees** – these costs are not allowable under Homelessness Prevention. If using funds for storage fees of personal items, such use of funds must be not more than three months of storage rent and provided as a means of securing a homeless person's belonging while obtaining permanent housing for the purpose of rapid re-housing only. Such households must be actively in the process of obtaining permanent housing and are awaiting placement in their home. Such cost is not allowable through homelessness prevention.
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- k) **Moving costs** provided to secure the rental of a moving van/truck and could include a transportation payment in alignment with transportation guidelines. Moving costs do not include cash or gift cards, except as provided in the transportation guidelines. In circumstances in which a client meets the definition of fleeing domestic violence and there are safety concerns with remaining in Oregon, moving costs can be used to assist the client to safely move to another state; however, the client file must have written documentation that a safe place is available in the destination state and such allowability must be in alignment with the client's service/housing plan. This allowability does not extend to paying an out-of-state landlord for rent, security deposit, application fees, etc., and only encompasses moving costs.
- l) **Transportation** costs, such as gas vouchers, Uber/Lift/Cab fares, car repairs/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 repairs/gas/insurance for a client's personal vehicle. Case managers must document why a client'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 client are not allowed. Client must have a valid driver's license. OHCS 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 in order 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. Subrecipients must follow the grantee's policy.

**A Private Vehicle Costs policy must include:**

- I. Dollar limitation per participant and frequency of such limitation (e.g., once per biennium);
  - II. Number of months limitation per participant for insurance costs;
  - III. Identification on what factors are used to determine whether such costs are preferable to public transportation; and
  - IV. Identification of how justification of expense and documentation of that justification is performed. Participant files must include such documentation.
- m) **Client Non-Categorical Services** are the rare provision of goods or payments of expenses not included in other allowable expense categories, which directly help a household to obtain or maintain permanent housing or meet a unique **essential** household need, as documented in the client service or housing plan. Consumer debt payments are not allowed as a client non-categorical service. Client Non-Categorical Service payment cannot be made for expenses already allowed in a program category and cannot be used as a means of covering an unallowable expense. Client Non-Categorical Services is not a cash or cash-equivalent payment to a client and such use is unallowable. Prior approval by the case manager's supervisor is required before goods or payments are delivered.
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- n) There are no **duration or amount of assistance** limitations imposed on grantees/subrecipients, with the exception of any specific limitations for particular types of services or categories as identified in this manual. Grantees have the discretion to set a maximum number of months that a participant can receive assistance and a maximum dollar amount of assistance. Subrecipients must follow grantee’s policy. The process for determining such conditions must be applied consistently for all households and, if grantee make any such limitation, they must have a policy describing these limitations and how such limitations are determined and monitored, incorporated into the grantee’s policies and procedures and communicated in advance to eligible participants. Such policy must be available to OHCS upon request

Where allowable, expenses for HP/RRH Financial Assistance:

<b>Expense</b>	<b>HP Allowable</b>	<b>RRH Allowable</b>
Housing costs such as rent payments and security deposit (inclusive of first, last, rent arrears, pet rent, and if accepted by landlord as an incentive, forward rent), and late fees	X	X
Rental-related expenses	X	X
Rent/Lease-to-Own payments	X	
Manufactured home rental space “lot rent” or RV space lot if used for primary housing	X	X
Utility payments and arrearages (utilities include water, sewer, garbage, gas, electricity, phone, internet)	X	X
Moving costs (van/truck rental)	X	X
Rapid re-housing storage costs		X
Utilities deposits		X
Pet deposit, limited to one pet per household		X
Application fees		X
Transportation costs, such as bus passes, gas vouchers, Uber/Lift/Cab fares, car repair/insurance	X	X
Client non-categorical services	X	X

**Unallowable Costs for HP/RRH Financial Assistance:**

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- a) Food;
- b) Cash or cash-equivalent funds provided to applicants/participants;
- c) Hotel/motel expenses (emergency shelter costs are covered under the Emergency Shelter component); and
- d) Participant debt payment

## **2) HP/RRH PROGRAM DELIVERY**

HR/RRH PD are those costs associated with providing services to help facilitate either maintaining a participant's current housing or assisting a participant to obtain permanent housing. Program Delivery are costs determined necessary to enable a household to obtain/retain their housing and achieve housing stability as identified and documented in their client service/housing stability plan.

### **Allowable Costs for HP/RRH Program Delivery**

- (a) Intake, data entry into HMIS;
- (b) Case management including pre-eligibility determination for housing and other needed services;
- (c) Housing navigation assistance;
- (d) Education and training in such areas as personal finance and budgeting, job search and access to job training, life skills, and literacy;
- (e) Assistance in completing/submitting applications for other state/federal benefits (SSI/SSDI, TANF, SNAP, Unemployment, etc.);
- (f) Referrals and/or "warm hand-offs" to counseling, addiction and mental health services;
- (g) Mediation between client and landlord;
- (h) Tenant readiness education; and
- (i) Maintenance costs associated to assist a unit pass an HQS inspection, this does not include major repair/rehabilitation costs (see the Acquisition/Rehabilitation Sections of this manual).

## **(E) *Distinguishing Between Maintenance and Renovation (Rehabilitation/Conversion)***

PTK can be used for the category of Shelter Operations, which refers to "Repairs to facility". This is meant to define minor or routine repairs.

Distinguishing between maintenance activities and more extensive repair and rehabilitation activities requires careful consideration. This information provided will assist in determining whether an activity is maintenance and therefore exempt from further environmental review, or, if it is rehabilitation and therefore requires further environmental review.

In general, maintenance activities slow or halt deterioration of a building and do not materially add to its value or adapt it to new uses. Sometimes, maintenance of a building feature or system requires periodic replacement of individual component parts that are

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subject to normal wear and tear. While maintenance is often budgeted as an operating expense, and repairs and rehabilitation are treated as capital expenses, it is the nature of the activity itself, not its budget category that determines whether it qualifies as maintenance. Simultaneous maintenance work in multiple units or buildings is still considered maintenance.

For environmental review purposes, deferred maintenance that has resulted in a need for extensive repairs and rehabilitation does not qualify as maintenance. If items that would otherwise be considered maintenance are done as part of an extensive remodeling or renovation of a building that amounts to rehabilitation, the entire job is considered rehabilitation. Depending on the extent of damage, activities performed after a disaster event will typically not be considered maintenance.

### ***(1) Shelter Operations: Maintenance***

In general, maintenance activities include: cleaning; minor or routine repairs of furnishing, equipment, and fixtures not permanently affixed to the building; protective or preventative measures to keep a building, its systems, and its grounds in working order; periodic replacement of a limited number of component parts of a building feature or system that are subject to normal wear and tear; and replacement of a damaged or malfunctioning component part of a building feature or system. Replacement of all or most parts or an entire system is not maintenance. Maintenance activities:

- Do not materially add to the value of the building/property;
- Do not appreciably prolong the useful life of the building/property; and
- Do not adapt the building/property to new uses.

See the Table in the Appendix of the program's operational manual for specific examples of maintenance activities.

The minimum period of use for maintenance activities is the same as for other shelter operations and essential services activities—that is, the recipient/subrecipient must provide services or shelter to homeless individuals and families at least for the period during which OHCS funds are provided (for example, the contract period specified in a grantee contract/agreement). Again, maintenance activities are not subject to environmental review.

### ***(2) Rehabilitation/Conversion/Renovation***

In general, an activity that does materially add to the value of the building, appreciably prolong its useful life, or adapt it to new uses would be considered rehabilitation, conversion or renovation.

See the Table in the Appendix of the program's operational manual for specific examples of maintenance activities.

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When the activity is renovation, rehabilitation or conversion, the scope of the environmental review may be limited if the work is minor and does not involve ground disturbance. Consult Regional Environmental Officers, Field Environmental Officers, and Program Environmental Clearance Officers for information and examples of Environmental Review Record documentation for limited reviews. The scope of an environmental review relates to the nature and extent of the rehabilitation activities. Some activities, especially those limited to interior spaces, may not have the potential to affect the natural environment, and therefore not require analysis under some of the related laws and authorities like those addressing Wild and Scenic Rivers, Endangered Species, Farmland Protection, or Protection of Wetlands. A reviewer can quickly document such instances in the Environmental Review Record, and focus effort and further analysis on those environmental areas that may be impacted by a project. In residential rehabilitation, those typically include Floodplain Management, Historic Preservation, Noise Abatement, Toxic Chemicals and Radioactive Materials. Historic Preservation review (Section 106) may be expedited through Programmatic Agreements and other program alternatives.

It is also possible to group multiple years of expected activities into one environmental review. For instance, rehabilitation activities could be outlined in a 5-year environmental review for a property and be reviewed once, without requiring individual reviews each time a single activity occurs during the time period.

Depending on the cost of the renovation and value of the building, it might be considered minor rehabilitation or major rehabilitation (see below).

Renovation costs can include architect’s fees, engineering costs, permits, and other costs of a renovation or conversion project when they are reasonable and appropriate, and directly related to the renovation or conversion project. Renovation includes four separate activities. The chart below shows each activity, the definition, the minimum period of use requirement, and the level of environmental review for each. Note that for renovation and conversion activities, the minimum period of use starts on the date the building is first occupied by homeless individuals or families after the renovation or, if the building is occupied during the renovation, the period of use starts on the date the renovation is completed.

Type of Renovation Activities	Definition	Minimum Period of Use	Level of Environmental Review Required
Minor Rehabilitation	The cost of the rehabilitation of an existing emergency shelter is 75% or less of the value of the building before rehabilitation*	3 Years	Generally Categorically Excluded

Major Rehabilitation	The cost of the rehabilitation of an existing emergency shelter exceeds 75% of the value of the building before rehabilitation*	10 Years	Environmental Assessment (can require an Environmental Impact Statement (EIS))
Minor Conversion	The cost of the conversion of a building to an emergency shelter is 75% or less of the value of the building after conversion*	3 Years	Environmental Assessment (can require an Environmental Impact Statement (EIS))
Major Conversion	The cost of the conversion of a building to an emergency shelter exceeds 75% of the value of the building after conversion*	10 Years	Environmental Assessment (can require an Environmental Impact Statement (EIS))

\* The value of the building is the reasonable monetary value assigned to the building, e.g., by an independent real estate appraiser.

**(F) Shelter or Transitional Housing Facilities Rehabilitation/Conversion/Renovation**

***[Refer to your Grantee Contract/Agreement for Procurement requirements]***

PTK can be used for the categories of rehabilitation (encompasses rehabilitation, renovation, and conversion), of emergency shelter and transitional housing for households who are homeless. Where the program requires, client eligibility applies.

**(1) Rehabilitation, Renovation or Conversion Instructions**

Reporting on all rehabilitation, renovation and conversion projects must be provided to OHCS in the form and format required and must be submitted by the due date identified by OHCS. A grantee who fails to provide required report is non-compliant with program rules and guidelines. Please read the requirements carefully to ensure compliance. Reports must be sent to <mailto:hss.acq.rehab@hcs.oregon.gov>.

**Conversion** is the process of changing or causing to change from one form to another; changing the function of a piece of property from one use to another.

**Renovation or Rehabilitation** is action taken to return a property to a useful state by means of repair, modification, or alteration.

**a) Restrictive Use Period**

The Restrictive Use Period runs from December 31 of the year the first building in the Project is placed in service (PIS) or until December 31, [Year of PIS + # of years appropriate for use], whichever is later. The project owner must agree to annually certify compliance with this requirement and submit that certification to OHCS at [hss.acq.rehab@hcs.oregon.gov](mailto:hss.acq.rehab@hcs.oregon.gov).

Rehabilitation and Renovation Minimum Period of Use		
	Use Requirement	Determining Criteria
Major Rehabilitation	10 years	Rehab costs exceed 75% of the value of the building before rehabilitation.
Conversion	10 years	Conversion costs exceed 75% of the value of the building after conversion.
Renovation, including rehab and conversion costs that do not meet 10 Year criteria.	3 years	Renovation costs are 75% or less of the value of the building before renovation.

#### b) **Contracted Oversight**

**Architectural:** All rehabilitation, conversion or renovation concepts must be reviewed and approved by an architect of grantee's choosing. For any rehabilitation, conversion or renovation activity costing more than \$30,000, or if any internal or external doors, windows or walls will be added, removed, or moved, the grantee must hire an architect of record to develop the construction documents.

**General Contractor:** For any construction costing more than \$50,000 or involving three or more trade specialties, the grantee must hire a general contractor.

#### c) **Period of Fund Availability**

All project costs to be paid with OHCS funds must be incurred on or before the last day of the biennium in which the allocation was made.

#### d) **Use of HMIS**

Except for Domestic Violence victims, grantee will be required to enter data into an approved HMIS system for all persons assisted in an OHCS-funded shelter or transitional housing unit. Domestic Violence providers must collect client data in a database comparable but separate from the grantee's HMIS database and must report client-blind data to the grantee. Grantee must participate in OHCS's required data reporting process, complying with all information requests and reporting deadlines.

#### e) **Procurement Requirements**

Grantees must follow procurement requirements as outlined in the grantee contract/agreement.

#### f) **OHCS Anti-Displacement and Relocation Assistance Policy**

OHCS-funded rehabilitation/conversion should not cause the involuntary displacement of tenants. OHCS encourages grantees to pursue projects that will not permanently displace tenants. If applicable, grantee will provide OHCS,

submitted at [hss.acq.rehab@hcs.oregon.gov](mailto:hss.acq.rehab@hcs.oregon.gov), with a description of the relocation plan and whether existing residents will have an opportunity to return to the facility, as well as any permanent relocation. Grantee's description shall include the kind of advance notice that will be given to affected tenants; and what funding the grantee will provide to assist persons being relocated. Grantee must comply with any laws addressing tenant protections and evictions.

**g) OHCS Fiscal Monitoring**

OHCS fiscal monitoring requirements for rehabilitation/construction projects are the same as fiscal monitoring of other costs incurred. Grantee must maintain a project file available for review during the monitor's visit or at the monitor's direct request.

**h) Quarterly Progress Report**

A standardized Quarterly Progress Report form (see Appendix B), must be submitted first, by the 10th day of the month following the month the project began and then quarterly thereafter, due by the 10<sup>th</sup> day the month following the quarter being reported. Reporting must begin for the month following the date of the first expense of OHCS funds is incurred and must continue quarterly until the project can be reported "in use" (shelter) or "occupied" (transitional housing). During all quarters when the grantee will be requesting funds from OHCS, the Quarterly Progress Report must include detail of the project work completed during that quarter and the percentage of completion achieved to date until the project is complete and placed into service. The Quarterly Progress Report form is available on the OHCS HSS Dashboard at:

<https://app.smartsheet.com/b/publish?EQBCT=8a215621578a4f76ae98113d719d5e64>. Submit report to OHCS at: [hss.acq.rehab@hcs.oregon.gov](mailto:hss.acq.rehab@hcs.oregon.gov).

**i) First Year Report**

At the end of the first calendar year the project was placed in service, grantee will be asked to provide OHCS with a year-end narrative report describing the project and how it is being used in the community. The First Year Report form is available on the OHCS HSS Dashboard at: <https://app.smartsheet.com/b/publish?EQBCT=8a215621578a4f76ae98113d719d5e64>. Submit report to OHCS at: [hss.acq.rehab@hcs.oregon.gov](mailto:hss.acq.rehab@hcs.oregon.gov).

**j) Annual Certificate of Continuing Program Compliance**

A Certificate of Continuing Program Compliance will be required from the grantee for the previous year. Grantee will use the Certificate to confirm the operation of the project is in compliance with the restrictive use requirements. The Certificate form is available as an appendix to this guidance. For Project Turnkey projects, the annual certificate of continuing program compliance may be identified for affordable housing. Affordable housing is defined as housing for which the

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occupant(s) is/are paying no more than 30 percent of their gross income for housing costs, including utilities. Submit Certificate to OHCS at: [hss.acq.rehab@hcs.oregon.gov](mailto:hss.acq.rehab@hcs.oregon.gov).

k) **Environmental Review**

Grantee must complete the appropriate Environmental Assessment or Environmental Impact Statement. Such environmental review must be performed by the responsible entity. The responsible entity must be the unit of general local government within which the project is located that exercises land use responsibility. Such review must be submitted to OHCS at: [hss.acq.rehab@hcs.oregon.gov](mailto:hss.acq.rehab@hcs.oregon.gov).

l) **Certificate of Occupancy**

Grantee must submit a Certificate of Occupancy signed by their local jurisdiction upon completion of the project. The Certificate of Occupancy must be submitted to OHCS at: [hss.acq.rehab@hcs.oregon.gov](mailto:hss.acq.rehab@hcs.oregon.gov). Submit Certificate to OHCS at: [hss.acq.rehab@hcs.oregon.gov](mailto:hss.acq.rehab@hcs.oregon.gov).

m) **Grantee's Responsibilities for Subrecipients**

OHCS will fund rehabilitation in a property owned by a grantee or a subrecipient of the grantee. OHCS will always allocate OHCS funds to the grantee, not the subrecipient. All requirements of the grant agreements, program guidelines apply and the grantee will be held responsible to ensure all requirements are met by the subrecipient and its vendors, including monitoring of subrecipients by the grantee to ensure compliance with program rules, regulations and requirements.

n) **Repurposing the Property**

Grantee cannot repurpose the use of the property before the end of the required restrictive use period. OHCS is exploring this pathway and will provide further guidance if developed.

o) **Transferring Property Ownership**

Within the Restrictive Use Period, the project owner may not transfer, sell, assign, bequeath, or dispose of any interest in the project to any person, entity or other assignee, without obtaining the **prior written consent of OHCS**. The proposed use of any monies gained from the transaction must be pre-approved by OHCS.

The Transfer of Property, in which OHCS funds were used for the property's conversion, rehabilitation or renovation (rehabilitation), can occur within the period of required restrictive use; however, the restrictive use must remain in effect for the length required by OHCS guidelines. Such transfer of property must receive prior approval by OHCS. Such transfer of property will not be approved prior to the project being placed into service and OHCS's receipt of the Certificate of Occupancy, the timely receipt of Quarterly Reports on the project's progress as identified in the Rehab guidance, a First Year Report, any required Environmental

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Review and at a minimum, the first Annual Certificate of Continuing Compliance. All documents regarding the transfer of property must be submitted to OHCS at: [hss.acq.rehab@hcs.oregon.gov](mailto:hss.acq.rehab@hcs.oregon.gov).

In order to be approved for the Transfer of Property in which OHCS funds were used, the grantee must enter into a Memorandum of Understanding (MOU) with the partner organization that will be the recipient of the transfer of property with the following requirements:

- MOU must be effective for the duration of the required restrictive use period.
- MOU must include the grantee's continued timely submission to OHCS of the Annual Certificate of Continuing Compliance for the length of the required restrictive use period.
- MOU must include the partner organization's compliance with grantee's Nondiscrimination, Confidentiality, Grievance and Appeals and Limited English Proficiency Policies, as approved by OHCS. This requirement can be met by a reference in the MOU to the guidance for compliance of these policies as identified in the program's Operation Manual.
- MOU must include the grantee's continued monitoring as required by the OHCS' program guidelines for the OHCS funds used for the rehabilitation of the property for the length of the required restrictive use period, which must include access to the property and the property records as required by OHCS program guidelines for the same duration.
- MOU must include access to the property and property records by OHCS and OHCS' authorized representatives for the purposes of monitoring as required by OHCS program guidelines
- MOU must include the requirement for records retention for a period of 6 years following the end of the required restrictive use period.
- MOU must be submitted to OHCS prior to execution and upon execution, OHCS must received the executed copy of the MOU, as approved.

The above guidance provides the flexibility for grantees to transfer property; however, maintains the integrity of the program dollars that are spent for the purposes of the project. While this will require continued follow-up on the grantee's behalf, it provides for the transfer of property to meet the grantee's and their partner organization's needs while still retaining emergency shelter or transitional housing for the needs of the community.

## ***(2) Checklist of Steps to Follow***

File review is the basis for OHCS monitoring. Grantee must keep a complete file of all project requirements for 6 (six) years following the final year of the restrictive use period. Grantee must follow all requirements of Sections (E) and (F) of this manual for the conversion, rehabilitation or renovation of property and must follow the reporting requirements identified below:

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- 1) Read through all these materials to ensure you understand the requirements that apply to your project and your responsibilities.
- 2) Submit all required reports, reviews and certificates to OHCS at: [hss.acq.rehab@hcs.oregon.gov](mailto:hss.acq.rehab@hcs.oregon.gov).
- 3) Before drawing your first request for funds, ensure that OHCS has received your first completed Quarterly Progress Report, due the 10<sup>th</sup> day following the first month the project began; AND by the 10<sup>th</sup> day of the quarter following each quarter thereafter until the project is placed into service, submit to OHCS a completed Quarterly Progress Report.
- 4) If required, ensure that the performance of an Environmental Review is complete and submitted to OHCS.
- 5) By the end of the first calendar year that the project is placed in service, submit to OHCS a completed First Year Report.
- 6) Upon completion of the project and prior to placing the project in service, submit to OHCS a completed Certificate of Occupancy.
- 7) By January 20<sup>th</sup> of each year after the project is placed into service and for the duration of the applicable restrictive use period, submit to OHCS a completed Annual Certificate of Continuing Program Compliance.

**(G) *Data System Expenses***

PTK funding can be used to support data system related costs necessary to collect and report shelter bed nights, participant services, participant demographic data, performance outcomes and other reporting requirements. Eligible data system expenses include:

- (1) HMIS user licenses;
- (2) Equipment upgrade for the purpose of HMIS needs;
- (3) Network systems upgrade (it is recommended that systems be networked) for the purpose of HMIS needs; and
- (4) HMIS training support for partner organizations to maximize effective use of HMIS system for data entry, reporting and program management. Such as:
  - a) staffing to conduct trainings related to HMIS;
  - b) develop and manage program specific workflows and on-boarding training related to HMIS;
  - c) develop and manage data quality plans related to HMIS; and
  - d) provide end user support, ad hoc reporting support and troubleshooting relate to HMIS.

**(H) *Gift Cards***

Gift cards **are not** an allowable use of PTK funds.

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## 5. Financial Management

### (A) *Administration*

Grantees are allowed to use up to fifteen percent (15%) of their total **PTK** allocation for administrative costs, including administrative costs for subrecipient organizations with whom the grantee contracts. There is an expectation that administrative funds will be shared with subrecipients (partners and culturally specific organizations) commensurate to the services provided through the program by subrecipients.

Allowable administrative costs benefit the organization as a whole and cannot be attributed specifically to a particular program. All amounts billed to administration must be supported by actual costs.

#### **Allowable costs include, but are not limited to:**

- (1) Senior executive management personnel salaries and benefits (unless they are directly involved in program operations), administrative staff travel costs;
- (2) General services such as accounting, budget development, personnel, contracting, marketing, agency audit, agency insurance;
- (3) Board and commission member expenses (excluding meals), limited to \$30 per day in which they are engaged in the performance of official duties. Members can also receive travel reimbursement. Payment of these expenses cannot be made through cash, gift cards, gas cards or other cash equivalent means (ORS 292.495, DAS OSPA Reference Manual);
- (4) Organization-wide membership fees and dues specific to homeless systems and programs;
- (5) 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); and
- (6) Equipment rental/purchase, insurance, utilities, and IT costs that are not program specific but relate to the administration of the agency as a whole.

### (B) *Advance Requests for Funds*

Grantee can request and be paid in advance, provided it maintains or demonstrates the willingness to maintain both written procedures that minimize the time elapsing between the transfer of funds and disbursement, and financial management systems that meet the standards for fund control and accountability. See your OHCS Grant Agreement for all identified requirements and allowability.

Advance payments to a grantee must be limited to the minimum amounts needed and be timed to be in accordance with the actual, immediate cash requirements of the grantee in carrying out the purpose of the approved program or project. The timing and amount of advance payments must be as close as is administratively feasible to the actual disbursements by the grantee for direct program or project costs and the proportionate share of any allowable indirect costs.

**An advance can be requested using the field labeled "Projected" in OPUS on the AGR screen.**

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**The need for an advance must be justified by a short comment in the AGR “Comment” field, or your comment can advise to “see attached”.** The comment and/or the attachment needs to provide enough detail to justify your request and demonstrate the impact to grantee’s operations and cash flow. Below are some acceptable methods that can be used to justify an advance request:

- (1) Wait list total, or expected demand, plus additional funds to serve participants over a specified time period. Analysis must be provided on how any additional funds were calculated, expected number of households and amount per household.
- (2) Amount needed to provide to one or more subrecipients, with an analysis of the calculated amount (projected volume or demand for subrecipient, number of households, etc.), while factoring in timelines for invoicing and processing.
- (3) Funds to meet grantee’s upcoming payroll.
- (4) Participant intake completed in another system, or applications in process of approval.

OHCS is mindful of grantee’s operational needs and cash flow as they work to deliver critical programs. If there are additional questions or if a grantee would like to talk through the operational and cash flow needs they are experiencing, they can contact Carol Wagner, [Carol.Wagner@hcs.oregon.gov](mailto:Carol.Wagner@hcs.oregon.gov) or by phone at 971-273-9235.

### **(C) *Use of OPUS***

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 the fiscal operations program of OPUS. Training can be provided by the Fiscal Grant Specialist at OHCS. A Zoom Replay of OPUS Fiscal Training can be found on the HSS Dashboard.

OHCS maintains an OPUS Manual and OPUS Help Desk. View the OPUS User Manual from the landing page, under the Help tab, after logging into OPUS. OPUS Help Desk can be reached at:

**Email:** [opushelp@hcs.oregon.gov](mailto:opushelp@hcs.oregon.gov)

**Ph:** (503) 986-2099

**Toll Free:** (800) 453-5511 Option 6

### **(D) *Request for Funding Documentation***

Grantees/subrecipients must retain supporting documentation of all costs charged to the applicable grant and be able to provide evidence that grant funds were spent on allowable costs. When grantee submits an Agency Grant Request (AGR)/Request for Funds (RFF) in OPUS, they are required to upload documentation of the costs for which they are requesting payment. Any AGR/RFF submitted without accompanying documentation or with insufficient documentation will be returned to the grantee with instructions to provide additional information. Grantee are required to **frequently and regularly** submit AGR/RFFs to appropriately expend their funds within their identified spending targets.

### **(E) *Budget Change Requests***

Changes in a grantee’s scope of work can necessitate the submission of a budget change request. All budget changes require OHCS approval by submitting a Budget Change Request

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form electronically to: [mga.fiscal@hcs.oregon.gov](mailto:mga.fiscal@hcs.oregon.gov). Grantees are required to submit a narrative pdf document with their budget change that identifies the need and purpose of the requested amendment.

At the discretion of OHCS, additional information can be required for a budget change request, in form and format required by OHCS.

Approved budget changes also necessitate an e-amendment of the grantee's OHCS grant agreement.

**(F) *Funds Spend Down***

Grantees are expected to fully obligate or expend grant funds during each funding cycle in accordance with OHCS policy and grantees must meet reasonable spending targets. OHCS will review grantee's grant spending. Grantee must fully expend funds and file a final Agency Grant Status (AGS)/Financial Status Report (FSR) within 60 days following the end of the grant period.

Any spending below a reasonable spending target as determined by OHCS, is subject to rescission of grant funds. Any funds left unexpended by 60 days following the end of the funding period, are subject to recapture/deallocation.

**(G) *Procurement***

Purchases of equipment or property are subject to additional provisions and requirements as stated in the grantee's OHCS grant agreement.

Fixed assets with a value greater than \$5,000, includes computer equipment, electronic equipment, photography equipment, hand tools and other items. Title to all equipment as defined in 2 CFR Part 200, purchased in whole or part with OHCS funds shall rest with the grantee. Disposal of any item having an original cost of more than \$5,000 or those purchases which have a current per-unit, fair market value of \$5,000 or more requires prior OHCS consent before disposal. Property and equipment purchased with OHCS grants shall not be used for collateral or to secure financing. See your OHCS Grant Agreement for more information.

Grantee can contract for services purchased in whole or in part with program funds. Contractor must be of recognized professional expertise, certification, license, registration, or stature in the relevant field where required. Contractor shall further be registered to do business in the State of Oregon, as required by Oregon Law.

When OHCS approval is required, grantee is expected to obtain multiple bids or pricing, and if required, provide sufficient information on cost allocation principals in accordance with 2 CFR 200. Grantee must provide sufficient information, in OHCS' determination, to justify reasonableness and cost allocation of the purchase. If using a sole source contract, grantee must have written justification documentation to explain why they were not able to obtain more options. All purchasing must be in compliance with grantee's policies and procedures and the grantee's OHCS Grant Agreement.

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## 6. Data, Submission and Reporting Requirements

### (A) **Data Entry**

Grantees and their subrecipients are required to enter reliable, valid and accurate **PTK** related participant and service data into the Homeless Management Information System (HMIS) being operated in their geographic Continuum of Care (CoC). HMIS Data and Technical Standards have been established by the U.S. Department of Housing and Urban Development (HUD). Grantees and their subrecipients must adhere to their CoC's HMIS Data Quality Plan.

HUD-defined Victim Service Providers (VSPs) must enter information into a comparable database that meets HUD HMIS standards.

### (B) **Data Timeliness**

Timely and accurate data entry is critical to ensuring meaningful data analysis and reporting. For all project types, grantees and subrecipients must enter data within two business days or sooner, depending on local CoC HMIS policies. It is highly recommended for project types such as Emergency Shelter that even more stringent data timeliness standards are applied.

### (C) **Data Entry Requirements for Emergency and Transitional Shelters**

Emergency or transitional shelters, or hotel/motel vouchers are required to report participants who are sheltered overnight. Overnight date-in and date-out must be entered to be able to determine who and how many people were served by a shelter or shelter type for any given night. This allows reporting on bed nights and daily shelter utilization in addition to the client-level information for those staying in shelters Facility, congregate-based programs, must be tracked separately and reported separately from any hotel/motel, non-congregate program.

### (D) **Data Entry Requirement for Other Program Components**

All other allowable components require both an HMIS entry/exit and HMIS Service Transaction to be entered into HMIS. Each allowable service must be represented with a Service Transaction. Same-day services will have the same Service Start and End Date. Service Transactions for Homelessness Prevention and Rapid Re-Housing costs, including all payments, arrearages, deposits, fees, landlord engagement and client non-categorical services, must include a HMIS Fund Source and Amount.

### (E) **Required Data Elements**

HMIS Universal and OHCS-required Data Elements that must be collected for ALL programs include, but are not limited to:

1. Name
  2. Social Security Number
  3. Date of Birth
  4. Race/Race Additional
  5. Ethnicity
-

6. Gender
7. Veteran Status
8. Disabling Condition (Y/N)
9. Specific Disabilities
10. Project Stay Elements (Prior Situation, Length of Stay, Date this Episode Started, etc.)
11. Project Start Date, Overnight Date In
12. Project Exit Date, Overnight Date Out
13. Service Start Date
14. Service End Date
15. Destination
16. Relationship to Head of Household
17. Client Location
18. Current County of Residence (for grantees that cover more than one county)

Additional Elements collected on Transitional Housing, Rapid Re-Housing, and Homelessness Prevention:

19. Income and Sources
20. Non-Cash Benefits
21. Health Insurance
22. Specific Disabilities Type
23. Percent of AMI, Percent of FPL
24. Housing Move-In Date
25. Domestic Violence Victim/Survivor (Y/N)
26. HMIS Service Transaction Fund Source and Amount

**(F) *Comparable Database***

Violence Against Women Act (VAWA) and the Family Violence Prevention and Services Act (FVPSA) contain strong, legally codified confidentiality provisions that limit HUD-defined Victim Service Providers (VSPs) from sharing, disclosing or revealing victims' personally identifying information (PII), including entering information into shared databases like HMIS. To protect clients, VSPs must enter required client-level data into a comparable database that is comparable to and complies with all HUD HMIS requirements.

Grantees/subrecipients defined as HUD VSPs are still subject to reporting requirements to OHCS of the grant for which they receive OHCS funding even if using a comparable database; however, no PII will be shared, only aggregate counts.

**(G) *Submissions/Reporting Requirements***

It is critical and grantees must meet deadlines for the submission of data, budgets, and reports (including, but not limited to annual, quarterly, and financial status reports, etc., as required by OHCS. Grantees must submit **complete and accurate** materials requested by OHCS by the deadline provided by OHCS and in the form and format required. Any submission that is incomplete or after the deadline will be considered by OHCS to be late and out of compliance with requirements.

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Grantees must enter complete, accurate, timely data and must monitor and confirm the quality of their data on a monthly basis. Grantees must directly submit or automate HMIS participant and service data to OHCS. Ten (10) days following the end of each quarter, OHCS will directly send grantees the OHCS prescribed report. Grantees will have ten (10) days to update, confirm and/or edit their data before OHCS produces a quarterly report by the 20<sup>th</sup> days following the end of each quarter. The final quarter of the HMIS fiscal year's report will be used as the HMIS annual report.

An annual report must be submitted, in format and format required by OHCS, by the 60<sup>th</sup> day following the end of the fiscal year providing detail, including, but not limited to subrecipient budgets, program services, performance, outcomes, successes, and challenges.

The AGR/FSR is due to OHCS by the 60<sup>th</sup> day following the end of the fiscal year and must be submitted within OPUS within this timeline.

At the discretion of OHCS, other reports can be required when deemed necessary by OHCS and grantees are subject to such requirement.

Subrecipient reporting to grantee must occur timely, so that grantees can meet the required deadline for reports to OHCS. It is the grantee's responsibility to ensure that subrecipients provide information to the grantee as required so that grantees can meet the reporting requirements of OHCS inclusive of subrecipient information.

## **7. Records Requirements**

### **(A) Case Files**

Documentation of 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 participant's request for assistance, why they are ineligible and how it was communicated to the applicant/participant, along with notification of the grantee's grievance/appeal process. Ineligible participants do not need to be entered into HMIS unless the use of HMIS is a part of the grantee or subrecipient's intake/assessment process.

Drop-in or mass shelter facilities that provide bed nights and no case management must maintain sign-in attendance documentation that includes shelter resident self-certification of their homeless status. All other shelter provisions, including issuance of hotel/motel vouchers as a part of shelter strategy, require that participant eligibility documentation be maintained in the participant file.

File documentation will be the basis of OHCS monitoring to ensure grantee and subrecipient is in compliance with program requirements, rules and regulations. OHCS recommends that grantees and subrecipients use a participant file checklist to ensure adequate documentation of case files. Sample forms are available on the OHCS website.

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**(B) Records Access**

Grantees, their subrecipient organizations and subrecipient organization’s subrecipients are required to permit OHCS, the Oregon Secretary of State’s Office, the federal government, and the duly authorized representatives of such entities access to, and the right to copy, all program records, applicant/participant records and fiscal records for such purposes as research, data collection, evaluations, monitoring, and auditing. At the sole discretion of OHCS, access to records shall include the removal of records as necessitated by OHCS or their duly authorized representative.

**(C) Records Retention**

Grantees, subrecipient organizations and subrecipient organization’s subrecipients shall retain all program records pertinent to applicant/participant services and expenditures incurred under **PTK** in a manner consistent with the requirements of state and federal law. This includes, but is not limited to, those requirements listed in Administrative Rule, Operations Manual and Special Schedules. Find the OHCS Special Schedule at the Oregon State Archives:

[https://sos.oregon.gov/archives/Pages/state\\_admin\\_schedules.aspx](https://sos.oregon.gov/archives/Pages/state_admin_schedules.aspx).

Find the State Agency General Records Retention Schedules at the Oregon State Archives:

<https://secure.sos.state.or.us/oard/displayDivisionRules.action?selectedDivision=591>

Records can be stored electronically; however, electronic records must be maintained securely and confidentially and be available in paper format if requested by OHCS for monitoring, audit or other purposes. HMIS can be used as a method of document collection and maintenance, when it represents all required records and is appropriate.

Grantees, subrecipient organizations and subrecipient organization’s subrecipients shall retain and keep accessible all such **fiscal and program records**, applicant/participant records, digital and electronic records, books, documents, papers, plans, and writings for a minimum of **six (6) years**, or such longer period as required by applicable law, whichever date is later. Destruction of records must occur timely and in compliance with applicable law and retention schedules. Retention begins from the later of the date that final payment is made or from the termination of **PTK** funding, or until the conclusion of any audit, controversy or litigation arising out of, or relating to, **PTK**.

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## 8. Definitions

- A. Client** means a household who has received an assessment of need, has been entered into an OHCS-funded program (intake), entered in HMIS and who is receiving financial assistance. A client is someone who has developed a client services/housing plan and is not receiving one-time only assistance.
- B. Code of Conduct Agreements** can be required by any type of shelter facility. A Code of Conduct Agreement can require that participants adhere to the shelter facility's rules and expectations of behavior and may or may not be required to be signed by the participant. Code of Conduct Agreements are not the same as Occupancy/Lease/Rental Agreements.
- C. 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 definitional aligns with TANF rules and regulations).
- D. Emergency Shelter** means a facility whose primary purpose is to provide temporary shelter to homeless households or specific populations of the homeless and which do not require occupants to sign leases or occupancy agreements. Emergency shelters types can include, but are not limited to:
- **Low-Barrier Shelters:** Shelters with limited entry requirements that enable people, who otherwise are not willing or able to access shelter services, to be off the streets. Low barrier shelters must not expect residents to abstain from using alcohol or other drugs, or from carrying on with street activities while living on-site, so long as they do not engage in these activities in common areas of the house and are respectful of other tenants and staff. Low barrier shelters can allow pets, allow couples to stay together, and can provide secure storage space for personal item. Low-barrier shelters are a state priority and should be implemented whenever feasible.
  - **High Barrier Shelters:** Shelters where residents must meet specific entry requirements such as passing a sobriety/drug or alcohol test, criminal background check, allow belongings to be searched, have a specific level of income, participate in program activities, etc.
  - **No-Barrier Shelter:** shelters where residents are not required to meet any specific entry requirements.
  - **Abstinence-Based or Dry Shelter:** Shelters where residents are not allowed to drink alcohol or use other drugs while in tenancy. Residents are expected to be "clean" before moving in and actively working on their recovery while living there and can be discharged from the program if they refuse treatment for a relapse.
  - **Wet Shelters:** Shelters where residents are not expected to abstain from using alcohol and other drugs, and where entering a rehabilitation program is not a requirement. Residents have access to recovery services and get to decide if and when they use these services.
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- **Damp Shelters:** Shelters where residents do not need to be “clean” when entering the program but are expected to be actively working on recovery from substance use problems.
  - **Day Shelters:** Temporary daytime accommodations and services for individuals and families who meet the definition of literally homeless as described under Participant Eligibility and are sleeping on the streets, lack a fixed, regular and adequate nighttime shelter and/or are living in an emergency shelter.
  - **Emerging Models of Shelter** can include “sleeping pods”, “conestoga huts”, “sanctioned rest stops” or “sanctioned camping areas”, etc.
  - **Warming/Cooling Shelters** are a short-term, emergency shelter that operates when temperatures or a combination of precipitation, wind chill, wind and temperature become dangerously inclement. Their paramount purpose is the prevention of death and injury from exposure to the elements.
  - **Transitional Shelters:** Emergency shelter projects with a primary purpose to provide temporary or transitional shelter and essential services to all eligible participants in general and/or for specific populations of the homeless. Some transitional shelter programs have a comprehensive service focus and participants can stay for a period of time based on participant need. Transitional shelters are different from transitional housing, as they do not require an occupancy/rental/lease agreement or rent payment obligation. Transitional shelters can require a code of conduct agreement.
  - **Mass Shelters:** High volume, high turnover emergency shelters where multiple individuals and/or family households sleep.
  - **Hotel/Motel Vouchers** used as emergency shelter strategy in those areas and times when no emergency shelter is available.
  - **Vehicular Shelters:** Vehicular shelters provide participants with a place to park their vehicle that is secure and free from ticketing, where they have access to garbage and sanitation services, onsite management that ensures the safety of participants, site cleanliness and adherence to site rules. Participants in vehicular shelters are provided access to participant services.
- E. **HMIS** means Homeless Management Information System. OHCS uses ServicePoint as their HMIS; however, for Domestic Violence Shelters use a comparable database (see “Data Entry” section of this manual).
- F. **Occupancy/Lease/Rental Agreements** 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.
- G. **Participant** means a household who may or may not be a client, but is receiving OHCS-funded services.
- H. **Priority Population** means persons that the grantee/subrecipient has determined as having the greatest need and will receive services first (such as veterans and homeless families with children).
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- I. **Rehabilitation or Rehab** means action taken to return an emergency shelter or transitional housing property to a useful state by means of repair, modification, or alteration. Bringing a property to the point where it is usable, safe, comfortable, hygienic, etc., but not necessarily bringing it back to its previous state or improving the property.
  - J. **Renovation** means the process carried out to upgrade an existing structure for the use as an emergency shelter or transitional housing and to improve performance by either altering the scope of structure, providing additional facilities or improving existing facilities. Improving the property.
  - K. **Repair and Maintenance** means actions taken to keep a building at a certain level of integrity, or to restore a structure to such a condition that it can be effectively used for its designated purpose. Actions that make improvements that will raise the building to a higher level of integrity or allow the building to be used for a new activity are not considered repair or maintenance. Bringing a property back to its original condition or taking action to keep a property at its current condition.
  - L. **Stand-Alone Policy** means a written policy that includes all the requirements for such a policy and is either its own separate document or it is included in a larger document, such as a policy and procedures handbook, that can easily be separated from the larger document for the purpose of approval and review by OHCS.
  - M. **Support Network:** Examples include family, friends and faith-based or other social networks.
  - N. **Target Population** means persons a grantee/subrecipient 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.
  - O. **Wet Signature** means any signature affixed to a hard copy with a pen or other writing device. An electronic signature does not meet the requirements of a wet signature.
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## 9. Appendix A – Maintenance/Rehab Activities

### EXAMPLES OF MAINTENANCE ACTIVITIES vs. REHABILITATION ACTIVITIES FOR ENVIRONMENTAL REVIEW PURPOSES

Feature or System	Maintenance Activities <sup>4</sup>	Rehabilitation Activities <sup>5</sup>
<b>Site</b>	<ul style="list-style-type: none"> <li>• lawn care (litter pickup, mowing, raking), trimming trees and shrubs</li> <li>• snow/ice removal</li> <li>• neighborhood cleanup</li> <li>• application of pavement sealants, parking lot restriping, directional signage or marking for handicapped accessibility</li> <li>• repair of cracked or broken sidewalks</li> </ul>	<ul style="list-style-type: none"> <li>• new landscaping throughout an area</li> <li>• construction of new walkways, driveways or parking areas, or replacement thereof</li> </ul>
<b>Building Exterior</b>	<ul style="list-style-type: none"> <li>• cleaning and fixing gutters and downspouts</li> <li>• repainting previously painted surfaces (including limited wet scraping and low-pressure washing)</li> <li>• replacing deteriorated section of siding</li> <li>• removal of graffiti</li> </ul>	<ul style="list-style-type: none"> <li>• cleaning masonry or stripping painted surfaces by sandblasting, acid wash, or high pressure washing</li> <li>• applying new exterior siding</li> </ul>
<b>Roof</b>	<ul style="list-style-type: none"> <li>• fixing leaks</li> <li>• application of waterproof coating to a flat roof</li> <li>• replacement of deteriorated flashing</li> <li>• in-kind replacement of loose or missing shingles or tiles</li> </ul>	<ul style="list-style-type: none"> <li>• complete replacement of roof with new shingles, tiles, roll roofing, membrane, or new metal roof</li> <li>• installation of solar panels</li> </ul>
<b>Windows and Doors</b>	<ul style="list-style-type: none"> <li>• washing windows</li> <li>• caulking, weather stripping, re-glazing windows and doors</li> <li>• fixing broken windowpane(s), storm window(s) or damaged entry door</li> <li>• replacing broken door lock</li> <li>• replacing a vandalized entry door to restore security of a building or unit</li> <li>• replacing a single severely damaged window to match</li> <li>• annual switch out of storm and screen panels</li> </ul>	<ul style="list-style-type: none"> <li>• replacement of windows</li> <li>• replacement of exterior doors</li> <li>• adding storm windows or storm doors</li> </ul>
<b>Interior Walls and Ceilings</b>	<ul style="list-style-type: none"> <li>• patching or mending cracked plaster</li> <li>• patching or fixing holes or cracks in drywall</li> <li>• replacing stained ceiling tiles</li> <li>• painting or wallpapering</li> </ul>	<ul style="list-style-type: none"> <li>• installation of new drywall or paneling</li> <li>• installation of new acoustical ceiling</li> <li>• installation of dropped ceilings</li> </ul>
<b>Flooring</b>	<ul style="list-style-type: none"> <li>• cleaning floors</li> <li>• stripping wooden floors and resealing</li> <li>• installation or replacement of carpeting or vinyl flooring*</li> </ul>	<ul style="list-style-type: none"> <li>• installation of new wood floor</li> </ul>

\* These maintenance items may require purchase of flood insurance if they occur in a Special Flood Hazard Area (SFHA), and costs exceed the standard deductible for the specific type of structure or unit under the National Flood Insurance Program (NFIP).

<b>Feature or System</b>	<b>Maintenance Activities <sup>4</sup></b>	<b>Rehabilitation Activities <sup>5</sup></b>
<b>Circulation</b>	<ul style="list-style-type: none"> <li>• in-kind replacement of broken stair treads or balusters</li> <li>• inspection and servicing of elevators</li> </ul>	<ul style="list-style-type: none"> <li>• rebuilding stair or constructing new stair</li> <li>• installation of new access ramp</li> <li>• elevator replacement</li> </ul>
<b>Kitchen</b>	<ul style="list-style-type: none"> <li>• replacement of stoves, refrigerators, and microwaves*</li> <li>• replacing cabinet hardware*</li> </ul>	<ul style="list-style-type: none"> <li>• complete or substantial kitchen remodel</li> </ul>
<b>Bathroom/Laundry</b>	<ul style="list-style-type: none"> <li>• unclogging sink or toilet</li> <li>• replacing deteriorated toilet in an occupied housing unit*</li> <li>• replacing broken medicine cabinet*</li> <li>• replacing washing machines and dryers*</li> <li>• installation of grab bars</li> </ul>	<ul style="list-style-type: none"> <li>• complete or substantial bathroom remodel</li> </ul>
<b>HVAC</b>	<ul style="list-style-type: none"> <li>• servicing and maintenance of mechanical systems</li> <li>• changing air filters</li> <li>• cleaning air ducts</li> <li>• installing or replacing a window air conditioner</li> <li>• replacing a malfunctioning part of a HVAC system like a thermostat *</li> </ul>	<ul style="list-style-type: none"> <li>• installation of new furnace or heat distribution system</li> <li>• installation of central air conditioning</li> </ul>
<b>Electrical/Lighting</b>	<ul style="list-style-type: none"> <li>• changing light bulbs</li> <li>• replacing malfunctioning light fixture, electrical switch or outlet*</li> </ul>	<ul style="list-style-type: none"> <li>• major rewiring of building</li> <li>• installation of new electrical service</li> <li>• replacing or moving electrical panels</li> </ul>
<b>Plumbing</b>	<ul style="list-style-type: none"> <li>• fixing plumbing leaks*</li> <li>• repairing damage from frozen pipes*</li> <li>• repairing water or sewer connection within existing utility trench alignment</li> <li>• replacing malfunctioning water heater*</li> </ul>	<ul style="list-style-type: none"> <li>• installation of new plumbing system</li> <li>• new water or sewer connection</li> </ul>
<b>Security</b>	<ul style="list-style-type: none"> <li>• repair of security alarm systems</li> <li>• boarding up a vacant building with protective plywood</li> <li>• installation of temporary security fencing</li> <li>• installation of security devices needed for an individual health facility patient</li> </ul>	<ul style="list-style-type: none"> <li>• installation of permanent security bollards</li> <li>• installation of new security alarm system</li> </ul>
<b>Life Safety</b>	<ul style="list-style-type: none"> <li>• servicing smoke, fire and CO2 detectors</li> <li>• installation of smoke, fire and CO2 detectors</li> </ul>	<ul style="list-style-type: none"> <li>• making substantial physical changes to a building to comply with fire and life safety codes</li> <li>• installing fire suppression system</li> </ul>
<b>Pest Infestation</b>	<ul style="list-style-type: none"> <li>• pest inspection/treatment</li> </ul>	

<sup>4</sup> Categorically Excluded from NEPA and not subject to the related authorities listed in 24 CFR 50.4 and 58.5, unless Extraordinary Circumstances apply pursuant to 24 CFR 50.19(a) or 58.35(c).

<sup>5</sup> Generally Categorically Excluded from NEPA and generally require review under related authorities listed in 24 CFR 50.4 and 58.5, but an RE or HUD reviewer may make a determination that an Environmental Assessment or Environmental Impact Statement is required due to individual project circumstances.

## B) Appendix B – Rehabilitation/Conversion/Renovation Quarterly Progress Report

### Quarterly Progress Report

Project Name:

[Click here to enter project name.](#)

Grantee Agency Name:

[Click here to enter agency name.](#)

**Instructions:** This is the Quarterly Progress Report. Complete one form for each property in which rehabilitation, conversion or renovation was totally or partially funded with OHCS funds. Submit this form through the OHCS gatekeeper system to OHCS Homeless Services Section at [hss.acq.rehab@hcs.oregon.gov](mailto:hss.acq.rehab@hcs.oregon.gov). The first time to send this report will be by the 10<sup>th</sup> day following the end of the first month in which the project began, then this report must be submitted every quarter after that by the 10<sup>th</sup> of the month following the end of each quarter.

For the First Report only (due the 10<sup>th</sup> day following the month the project began), please give a brief summary of the project: [Enter details.](#)

Report covers the following time period:

(Check one)      Rehab/Conversion/Renovation

Project is on target for completion as scheduled. (check one):  Yes      No

Project is [Enter number.](#)% complete

Please describe all the project activity completed this period. (Project activity includes pre-project actions such as hiring a realtor, confirming zoning, holding neighborhood meetings, etc., as well as any actions directly related to the acquisition, rehab, conversion, or renovation.)

[Enter details.](#)

If you answered "None" to Question 1, please describe the reason(s) the project is not advancing in alignment with the approved timeline.

[Enter details.](#)

If you expect to incur cost overages, please describe why you expect them to occur, and indicate the funding source you will use to pay them.

[Enter details.](#)

Submitted by: [Enter name.](#)     Position: [Enter position.](#)

Submitted on this date: [Click to enter a date.](#)