

HOMELESS PREVENTION AND RAPID RE-HOUSING RECORDKEEPING REQUIREMENTS
(24 CFR 576.500)

To serve any participant with ESG rental assistance the program participant must be determined eligible under either the homeless definition or the at-risk of homelessness definition and must meet the eligibility criteria for ESG rapid re-housing or homelessness prevention assistance (24 CFR 576.103 and 104).

<p>Eligibility criteria for Homelessness Prevention Assistance</p>	<p>To be eligible for assistance under the Homelessness Prevention component, individuals or families must meet the criteria under the "at risk of homelessness" definition, or the criteria in paragraphs 2, 3, or 4 of the "homeless" definition, AND have an annual income below 30 percent of the median family income for the area, as determined by HUD, AND have no other support networks and resources to prevent them from going to the street or a shelter. Finally, the assistance must be necessary to help the program participant regain stability in his/her current permanent housing or move into other permanent housing and achieve stability in that housing (24 CFR § 576.103).</p> <p>___ ESG Application Form ___ N/A</p>
<p>Eligibility Criteria for Rapid Re-Housing Assistance</p>	<p>Rapid Re-Housing assistance may only be provided to "program participants who meet the criteria under paragraph (1) of the 'homeless' definition in §576.2 or who meet the criteria under paragraph (4) of the 'homeless' definition AND live in an emergency shelter or other place described in paragraph (1) of the 'homeless' definition." (24 CFR § 576.104).</p> <p>___ ESG Application Form ___ Client referral from Coordinated Entry ___ N/A</p>
<p>Documentation of Homeless Status Order of Priority</p>	<p>Recipients must maintain and follow written intake procedures to determine whether potential program participants meet the homeless definition found in §576.2. These procedures must require documentation at intake of the evidence relied upon to establish and verify homeless status.</p> <p>Therefore, recipients and subrecipients are required to document eligibility at program entry. For ESG homelessness prevention and rapid re-housing assistance, the interim rule establishes the following order of priority for obtaining evidence:</p> <p>Third-party documentation, including written and source documentation, and HMIS records;</p>

	<p>Intake worker observations; Certification from persons seeking assistance.</p> <p><input type="checkbox"/> Client HMIS ID#: _____</p> <p><input type="checkbox"/> HMIS Client Consent and Release Authorization Form</p> <p><input type="checkbox"/> N/A</p>
<p>Documentation of Homeless Status Under paragraph (1)(i) or (ii) of the homeless definition Street or Shelter</p>	<p><input type="checkbox"/> Written observation by an outreach worker of conditions where client was living;</p> <p><input type="checkbox"/> Written referral by another housing or service provider; or</p> <p><input type="checkbox"/> Self-certification</p> <p><input type="checkbox"/> N/A</p>
<p>Documentation of Homeless Status Under paragraph (1)(iii) of the homeless definition Exiting an institution</p>	<p><input type="checkbox"/> Written observation by an outreach worker of conditions where client was living;</p> <p><input type="checkbox"/> Written referral by another housing or service provider; or</p> <p><input type="checkbox"/> Self-certification; AND one of the following:</p> <p><input type="checkbox"/> Discharge paperwork or a written or oral referral from a social worker, case manager, or other appropriate official of the institution, that states the beginning and end dates of the time residing in the institution. All oral statements must be recorded by the intake worker;</p> <p><input type="checkbox"/> If the evidence above is not obtainable, a written record of the intake worker's due diligence in attempting to obtain the evidence above and a certification by the individual seeking assistance that states that he or she is exiting or has just exited an institution where he or she resided for 90 days or less. (ESG Options and Resource Eligibility Form)</p> <p><input type="checkbox"/> N/A</p>
<p>Documentation of Homeless Status Under paragraph 2 of the homeless definition</p>	<p><input type="checkbox"/> A court order resulting from an eviction action that requires the individual or family to leave their residence within 14 days [21 days for risk factor 3] after the date of their</p>

<p>Documentation of At Risk of Homelessness Status Under Category 1, Risk Factor 3 of the at risk of homelessness definition</p>	<p>application for homeless assistance; or the equivalent notice under applicable state law, a Notice to Quit, or a Notice to Terminate issued under state law.¹</p> <p>___ As a last resort, an oral statement by the individual or head of household may be used to document that an individual or family must leave the housing unit that they own or rent within 14/21 days after the date of their application for homeless assistance. Warning: If in HUD-monitoring it is identified that an oral statement is used to document homeless status for the majority of program participants in the project, then that would be raised as a concern and might result in corrective actions.</p> <p>The oral statement must be recorded and found credible by the intake worker. To be found credible, the oral statement must either be</p> <p>___ (1) verified by the landlord (or lender, in the case of foreclosure) and documented by a written certification by the landlord/bank or by the intake worker's recording of the oral statement or</p> <p>___ (2) where the intake worker is unable to contact the landlord/bank, a written certification by the intake worker of his or her due diligence in attempting to obtain the landlord/bank's verification.</p> <p>___ Certification by the individual or head of household that no subsequent residence has been identified; and</p> <p>___ Certification or other written documentation that the individual or family lacks the resources and support networks needed to obtain other permanent housing.</p> <p>___ N/A</p>
<p>Documentation of Homeless Status Under paragraph 3 of the homeless definition</p>	<p>___ For paragraph 3(i): Certification of homeless status by local private nonprofit organization or state or local governmental entity responsible for administering assistance</p>

¹ Please note that in many circumstances, a 5-day "notice to pay or quit" (or similar notice) from the landlord, is *not* equivalent to a court-ordered eviction notice. The intent of the law and regulation is that the notice provided by the landlord must actually require the tenant to leave the unit, usually enforced by the use of law enforcement (such as a sheriff). The above language from the final rule of the homeless definition is designed to encompass state laws that may use slightly different language; however, the language in any state law must truly be the equivalent of a court-ordered eviction action.

<p>Unaccompanied Youth or homeless family with one or children or youth</p>	<p>under the applicable Act (for paragraph 3(i)).</p> <p><input type="checkbox"/> For paragraph 3(ii):</p> <p><input type="checkbox"/> Referral by another housing or service provider;</p> <p><input type="checkbox"/> Written observation by an outreach worker; or</p> <p><input type="checkbox"/> Self-certification</p> <p><input type="checkbox"/> For paragraph 3(iii): Certification by the individual or head of household and any available supporting documentation that the individual or family moved two or more times during the 60-day period immediately preceding the date of application for homeless assistance including:</p> <p><input type="checkbox"/> Recorded statements or records obtained from each owner or renter of housing, provider of shelter or housing, or social worker, case worker, or other appropriate official of a hospital or institution in which the individual or family resided; or</p> <p><input type="checkbox"/> If the above statements or records are unobtainable, a written record of the intake worker’s due diligence in attempting to obtain these statements or records.</p> <p><input type="checkbox"/> Individual or family fleeing domestic violence: intake worker may obtain a written certification from the individual or head of household seeking assistance that they were fleeing that situation and that they resided at that address.</p> <p><input type="checkbox"/> For paragraph 3(iv): written diagnosis from a professional who is licensed by the state to diagnose and treat that condition; or</p> <p><input type="checkbox"/> Intake staff recorded observation of disability that within 45 days of date of the application for assistance is confirmed by a professional who is licensed by the state to diagnose and treat that condition.</p> <p><input type="checkbox"/> Employment records, department of correction records, literacy, English proficiency tests, or other reasonable documentation of the conditions required under paragraph 3(iv) of the homeless definition.</p> <p><input type="checkbox"/> N/A</p>
<p>Documentation of Homeless Status Under paragraph 4 of the homeless definition Fleeing domestic violence</p>	<p><input type="checkbox"/> When receiving shelter or services provided by a victim service provider: then a self-certification is sufficient so long as the individual or household is certifying they are fleeing or attempting to flee domestic violence, dating violence, sexual assault, or stalking, lacks resources and support networks, and subsequent residence.</p>

	<p>___ If the organization is not a victim service provider, the individual may self-certify lack of resources, support network, and subsequent residence, but the intake worker should attempt to verify those conditions as long as doing so does not jeopardize the safety of the individual/family.</p> <p>___ N/A</p>
<p>Documentation of at risk of homelessness status</p>	<p>___ Intake certification form</p> <p>___ Annual income documentation</p> <p>___ Certification that the program participant has insufficient financial resources and support networks immediately available to attain housing stability and one or more of the at risk conditions.</p> <p>___ The most reliable evidence available to show that the program participant has insufficient financial resources and support networks immediately available to prevent them from moving to an emergency shelter or a place not meant for human habitation. Acceptable evidence includes the following:</p> <p>___ Source documents (e.g. notice of termination from employment);</p> <p>___ If source documents are unobtainable, a written statement by the relevant third party (e.g. former employer) or a written certification by the recipient's or subrecipient's intake staff of the oral verification by the relevant third party that the applicant meets one or both of the criteria under paragraph (1)(ii);</p> <p>___ If source documents and third party verification are unobtainable, a written statement by the recipient's or subrecipient's intake staff describing the efforts taken to obtain the required evidence; and</p> <p>___ The most reliable evidence available to show that the program participant meets one or more of the at risk conditions. Acceptable evidence includes:</p> <p>___ Source documents that evidence one or more of the conditions (e.g. eviction notice, notice of termination from employment, bank statement);</p> <p>___ If source documents are unobtainable, a written statement by the relevant third party (e.g. former employer, owner) or written certification by the recipient's or subrecipient's intake staff of the oral verification by the relevant third party that the applicant meets one or</p>

	<p>more of the criteria under paragraph (1)(iii);</p> <p><input type="checkbox"/> If source documents and third party verification are unobtainable, a written statement by the recipient's or subrecipient's intake staff that the staff person has visited the applicant's residence and determined that the applicant meets one or more of the at risk conditions or, if a visit is not practicable or relevant to the determination, a written statement by the recipient's or subrecipient's intake staff describing the efforts taken to obtain the required evidence; or</p> <p><input type="checkbox"/> If the program participant meets the criteria under paragraph (2) or (3) of the "at risk of homelessness" definition, certification of the child or youth's homeless status by the agency or organization responsible for administering assistance under the applicable Act.</p> <p><input type="checkbox"/> N/A</p>
<p>Determination of ineligibility</p>	<p><input type="checkbox"/> Documentation of the reason for the determination of ineligibility</p> <p><input type="checkbox"/> N/A</p>
<p>Annual Income</p>	<p><input type="checkbox"/> Income evaluation form</p> <p><input type="checkbox"/> Income eligibility & Rent Calculation Worksheet</p> <p><input type="checkbox"/> Source documents for the assets held by the program participant and the income received over the most recent period for which representative data is available before the date of evaluation</p> <p><input type="checkbox"/> Wage statement</p> <p><input type="checkbox"/> Unemployment compensation statement</p> <p><input type="checkbox"/> Public benefits statement</p> <p><input type="checkbox"/> Bank statement</p> <p>To the extent that source documents are unobtainable:</p> <p><input type="checkbox"/> A written statement by the relevant third party or the written certification by the recipient's or</p> <p><input type="checkbox"/> Subrecipient's intake staff of the oral verification by the relevant third party of the income that the program participant received over the most recent period for which</p>

	<p>representative data is available; or</p> <p>To the extent that source documents and third party verification are unobtainable:</p> <p><input type="checkbox"/> Written certification by the program participant of the amount of income the program participant received for the most recent period representative of the income that the program participant is reasonably expected to receive over the 3-month period following the evaluation.</p> <p><input type="checkbox"/> N/A</p> <p>It is always the judgment of the case worker doing the required intake assessment to evaluate a program participant's specific situation and document that they meet any applicable eligibility criteria, such as lacking other resources or support networks</p>
<p>Program Participant Records</p>	<p><input type="checkbox"/> ESG Housing Stabilization Plan</p> <p><input type="checkbox"/> Evidence of homeless status or at risk of homelessness status, as applicable</p> <p><input type="checkbox"/> Records of services and assistance provided to the program participant</p> <p><input type="checkbox"/> Records of compliance with applicable requirements for providing services and assistance to that program participant under the program components and eligible activities provisions at section 576.101 through 576.106,</p> <p><input type="checkbox"/> Records of compliance with the provision on determining eligibility and the amount and type of assistance at 576.401(a) and (b), and</p> <p><input type="checkbox"/> Records of compliance with the provision on using appropriate assistance and services at 576.401(d) and (e)</p> <p><input type="checkbox"/> Where applicable, compliance with the termination of assistance requirement in 576.402</p> <p><input type="checkbox"/> N/A</p>
<p>Rental assistance agreements and payments</p>	<p><input type="checkbox"/> Copies of all leases and rental assistance agreements</p> <p><input type="checkbox"/> Documentation of payments made to owners for the provision of rental assistance</p> <p><input type="checkbox"/> Supporting documents for these payment, including dates of occupancy by program</p>

	participants <input type="checkbox"/> N/A
Utility allowance	<input type="checkbox"/> Records of monthly allowance for utilities (excluding telephones) used to determine compliance with the rent restriction <input type="checkbox"/> N/A
Shelter and housing standards	Records of compliance with shelter and housing standards in 576.403. <input type="checkbox"/> Lead Based Paint <input type="checkbox"/> ESG Inspection Checklist <input type="checkbox"/> Rent Reasonableness <input type="checkbox"/> N/A
Services and assistance provided	<input type="checkbox"/> Types of essential services, rental assistance, and housing stabilization and relocation services provided <input type="checkbox"/> Amounts spent on these services <input type="checkbox"/> Records to demonstrate compliance with the maintenance of effort requirement including the following: <input type="checkbox"/> City budget <input type="checkbox"/> Sources of funding for street outreach and emergency shelter <input type="checkbox"/> N/A

APPROVED DENIED FOR _____ ESG PROGRAM

REASON: