

# Understanding ESG's Homelessness Prevention Component

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TN HOUSING DEVELOPMENT AGENCY - OCTOBER 2024



# Homelessness Prevention Overview

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Homelessness Prevention activities are used to provide housing relocation and stabilization services and short and/or medium-term rental assistance to prevent an individual or family from moving into an emergency shelter or living in a public or private place not meant for human habitation.

To be eligible, clients must be all three:

1. Be eligible under one of the following categories as defined by HUD, “At-risk of Homelessness”, “Homeless Category 2”, “Homeless Category 3” or “Homeless Category 4”
2. Have a household annual income below 30% AMI for the area
3. Show they have no other supports or resources to maintain housing on their own without ESG assistance



# Homelessness Prevention Principles

Crisis Resolution	Support Client Choice	Provide “Just Enough”	Community Coordination	Right Resources, Right People, Right Time
<p>Provide crisis-intervention, rapid assessment , and a focus on personal safety.</p> <p>De-escalate emotional reaction, create definite action steps, when needed help make these steps and return the client to control over their own problem solving.</p>	<p>Emphasis on the client’s goals, choices, and preferences, an unwavering respect for their strengths, and reinforcement of progress are essential for empowerment</p>	<p>Provide the minimum case management and financial assistance necessary for the shortest time possible to serve the most families with a limited budget.</p>	<p>Maximize community resources to funnel eligible clients to correct resources and prevent duplication of services across multiple agencies.</p>	<p>Good prevention programs strive to target people who have the highest risk of becoming homeless but who also have a good chance of remaining housed if they receive assistance.</p>

# Environmental Review

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All THDA ESG projects must receive an approved Environmental Review from THDA, pursuant to 24 CFR part 58, before any ESG funds may be committed.



After awards are announced and prior to the contract start date, THDA will send each grantee an Environmental Review Questionnaire. This questionnaire helps us accurately determine the level of review needed.



THDA reviews the costs included on the Environmental Review Questionnaire and completes the Environmental Review on behalf of the grantees.

# Eligible Participants

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Homeless Category 2 –  
Imminent Risk of Homelessness

Homeless Category 3 –  
Homeless under other Federal  
Statutes

Homeless Category 4 –  
Fleeing or Attempting to Flee DV

At Risk of Homelessness

Note: All applicants must demonstrate some sort of imminent risk of housing loss. Applicants who are requesting financial assistance but not facing eviction or housing loss would not be eligible for ESG assistance without a notice to vacate, eviction notice or other eligible documentation.

# Category 2 – Imminent Risk of Homelessness

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Individual or family who will imminently lose their primary nighttime residence, provided that:

- i. Residence will be lost within **14 days** of the date of application for homeless assistance;
- ii. No subsequent residence has been identified; **and**
- iii. The individual or family lacks the resources or support networks needed to obtain permanent housing

# Category 3 – Homeless under other Federal Statutes

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Unaccompanied youth under 25 years of age, or families with children and youth, who do not otherwise qualify as homeless under this definition, but who:

- i. Are defined as homeless under the other listed federal statutes (explained on next slide);
- ii. Have not had a lease, ownership interest, or occupancy agreement in permanent housing during the 60 days prior to the homeless assistance application;
- iii. Have experienced persistent instability as measured by two moves or more during the preceding 60 days; and
- iv. Can be expected to continue in such status for an extended period of time due to special needs or barriers

# Category 3 - Other Federal Statutes cont.

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For the purposes of this definition, other federal statutes for defining homelessness include:

- Section 387 of the Runaway and Homeless Youth Act (42 U.S.C. 5732a)
- Section 637 of the Head Start Act (42 U.S.C. 9832)
- Section 41403 of the Violence Against Women Act of 1994 (42 U.S.C. 14043e-2)
- Section 330(h) of the Public Health Service Act (42 U.S.C. 254b(h))
- Section 3 of the Food and Nutrition Act of 2008 (7 U.S.C. 2012)
- Section 17(b) of the Child Nutrition Act of 1966 (42 U.S.C. 1786(b)) OR
- Section 725 of the McKinney-Vento Homeless Assistance Act (42 U.S.C. 11434a)

# Category 4 – Fleeing or Attempting to Flee DV

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Any individual or family who:

- i. Is fleeing, or is attempting to flee, domestic violence, dating violence, sexual assault, stalking, or other dangerous or life-threatening conditions that relate to violence against the individual or a family member, including a child, that has either taken place within the individual's or family's primary nighttime residence or has made the individual or family afraid to return to their primary nighttime residence
- ii. Has no other residence; and
- iii. Lacks the resources or support networks, *e.g.*, family, friends, faith-based or other social networks, to obtain other permanent housing

# At-Risk of Homelessness

The individual or family must:

1. Have income below 30 percent of median income for the geographic area; **AND**
2. Have insufficient resources immediately available to attain housing stability to prevent them from moving to an emergency shelter or another place described in category 1 of the homeless definition; **AND**
3. Meet at least one of the following conditions:

A) Has moved frequently because of economic reasons—“2 or more times during the 60 days immediately preceding the application for homelessness prevention assistance.”

B) Is living in the home of another because of economic hardship

C) Has been notified in writing that their right to occupy their current housing or living situation will be terminated within **21 days** after the date of application.

D) Lives in a hotel or motel not paid for by federal, state, or local government programs for low-income individuals or by charitable organizations.

E) Lives in severely overcrowded housing; [in SRO or efficiency apartment unit in which more than two persons, on average, reside or another type of housing in which there reside more than 1.5 persons per room, as defined by the U.S. Census Bureau.]

F) Is exiting a publicly funded institution; or system of care, [such as a health-care facility, mental health facility, foster care or other youth facility, or correction program or institution.]

G) Otherwise lives in housing that has characteristics associated with instability and an increased risk of homelessness as described by the Consolidated Plan

# Eligible Activities

RENTAL ASSISTANCE	FINANCIAL ASSISTANCE	STABILIZATION SERVICES
<ul style="list-style-type: none"><li>• Short-term rental assistance</li><li>• Medium-term rental assistance</li><li>• Rental arrears</li></ul>	<ul style="list-style-type: none"><li>• Rental Application Fees</li><li>• Security Deposits</li><li>• Last Month's Rent</li><li>• Utility Deposits</li><li>• Utility Payments</li><li>• Moving Costs</li></ul>	<ul style="list-style-type: none"><li>• Housing Search and Placement</li><li>• Housing Stability Case Management</li><li>• Mediation</li><li>• Legal Services</li><li>• Credit Repair</li></ul>

[Click here for the ESG Eligible Expense Guide found on THDA's ESG website for reference.](#)

# Rental Assistance



**Short-term Rental Assistance –**  
1-3 months of rent



**Medium-term Rental Assistance –**  
4-24 months of rent



**Rental Arrears –** May consist of a one-time payment of up to 6 months of arrears with late fees. Each month of arrears counts towards maximum of 24 months of rental assistance in a 3-year period.

# Stabilization Services



**Housing Search and Placement** - Services or activities necessary to assist program participants in locating, obtaining, and retaining suitable permanent housing



**Housing Stability Case Management** - Cost of assessing, arranging, coordinating, & monitoring the delivery of individualized services to facilitate housing stability for a program participant who resides in permanent housing



**Mediation** – Any costs of mediation between the client and owner of where the client is living. Mediation must be necessary to prevent client from losing their housing where they currently reside.



**Legal Services** – Hourly fees of licensed attorneys to address landlord/tenant matters. The services must be necessary to resolve a legal problem that will likely result in the program participant losing the permanent housing in which the program participant currently resides.



**Credit Repair** - Credit counseling and other services necessary to give clients critical skills related to household budgeting, managing money, accessing a free personal credit report, & resolving personal credit problems. This assistance does not include the payment or modification of a debt.

# Overhead Costs



**Operations** - Rent and/or utilities for office or building used to conduct HP services, Office supplies, Mileage of employees providing direct service



**Employee Compensation** – salaries of those providing direct service which includes benefits packages

# Overhead Costs

Overhead costs charged under Homelessness Prevention must directly relate back to carrying out Homelessness Prevention activities.

As necessary, overhead costs need to be split between all awarded grants and/or multiple ESG activities in that fiscal year

- If your agency has multiple grants, overhead costs cannot be charged to ESG at 100% and must be split
- If an agency runs both a Rapid Re-housing program and Homelessness Prevention program out of the same office, costs for rent need to be split between those two activities when requesting reimbursement from THDA.

Rent for office space must first be approved by THDA in the Environmental Review process. Without prior clearance, it will not be reimbursed.

# Employee Compensation

Employee compensation (including fringe benefits such as holiday, vacation, sick leave) must be reimbursed for actual hours worked under Homelessness Prevention and should be tracked

Timesheets that capture actual time spent on specific programs are the most straightforward way to meet time reporting requirements. However, other approaches may be acceptable as long as they meet the guidelines established in Circular A-87 Appendix B(8)(H) for States or units of local government or Circular A-122 Appendix B(8)(m) for nonprofit organizations, or the OMB OmniCircular, at 2 CFR part 200, as applicable.

A staff position that works under multiple grants cannot be paid solely through ESG funds

A staff member that works under multiple ESG activities cannot charge 100% of their salary and benefits under one activity

- Example is a case manager that has clients under Rapid Rehousing and Homelessness Prevention. Salary would need to be split under time worked for each activity.

Are employee compensation (including fringe benefits such as holiday, vacation, sick leave) and other overhead costs eligible expenses under the ESG program? How should these costs be allocated?

# Ineligible Costs Under Homelessness Prevention

- ×The cost of a hotel/motel to prevent the client from entering an emergency shelter
- ×Internet for clients is not an eligible utility
- ×Legal services for immigration and citizenship matters and issues relating to mortgages are ineligible costs. Retainer fee arrangements and contingency fee arrangements.
- ×More than 24 months of case management, rental and utility assistance in any 3-year period. Agencies must enact due diligence to ensure these limits are not exceeded.
- ×Otherwise ESG eligible activities, however, they are not included in your agency's written standards as an eligible cost your agency provides
- ×Child-care
- ×Rental assistance where the unit does not meet FMR, Rent Reasonableness and/or Habitability Standards

# Homelessness Prevention Client File Checklist

[Homelessness Prevention Checklist is linked here](#)  
& [must be completed for every ESG HP eligible client.](#)

[Optional forms provided throughout this presentation are linked here.](#)

# 1. Enrollment into HMIS

- A HMIS screenshot can be used as documentation in the applicant's file to show enrollment into HMIS or comparable database
- This should show entry and exit dates

## 2. Centralized Intake Form or Initial Assessment

- Agency must keep documentation evidencing the use of the centralized or coordinated assessment system(s) developed by the Continuum of Care(s) in accordance with the requirements established by HUD
- The best way to show this would be including the CoC developed coordinated assessment in the client's ESG file
- All must be explained or provided to client and client signed off acknowledging they were given this information.
  - Grievance & Termination Policy
  - Program rules
  - Right to Fair Housing
  - Releases of Information for HMIS and other entities on behalf of participant
  - "Protect Your Family from Lead in Your Home" pamphlet
  - "Notice of Occupancy Rights under the Violence Against Women Act" HUD Form 5380 (**must be given to client at program entry and if/when rental assistance is provided**)

# Order of Obtaining Documentation must be followed to verify Category of Homelessness or At-Risk of Homelessness & Annual Income:

1. Source documentation (*e.g.*, eviction notice, notice of termination from employment, unemployment compensation statement, public benefits statement, bank statement)
2. *To the extent that source documents are unobtainable*, a written statement by the relevant third party (*e.g.*, former employer, owner, primary leaseholder, public administrator, hotel or motel manager, government benefits administrator) OR the written certification by the agency's intake staff of the oral verification by the relevant third party that the applicant meets criteria
3. *To the extent that source documents and third-party verification are unobtainable*, a written statement of due diligence by intake staff that the staff person has verified and determined the applicant meets criteria necessary. Intake staff must include the attempts taken to obtain the required evidence. Participant also must self-certify their circumstances.

### 3. Verification of Homelessness Status

- Include in the client's file a declaration of which Homelessness category or At Risk of Homelessness the client is eligible under
- Proper supporting documentation must also be attached with the declaration
- Optional Forms to use:
  - ["Verification of Homeless Status" Form linked here and, on our website, to help satisfy this requirement.](#)
  - ["ESG Statement of Insufficient Resources" can be used to certify the participant is lacking financial and social supports.](#) (Relevant for Homeless Category 2 & At-Risk of Homelessness)

# 3. Verification of Homelessness Status Supporting Documentation

<b>Homeless Category 2: Imminent Risk</b> (must show loss of housing within 14 days of date of ESG application)	<b>Homeless Category 3: Homeless under other Federal Statutes</b>	<b>Category 4: Fleeing or Attempting to Flee DV</b>	<b>At Risk of Homelessness</b>
<ol style="list-style-type: none"> <li>1. Court order from an eviction; or Hotel and motel exit-evidence that they lack the financial resources; <b>OR Last resort</b> - Documented and verified oral statement; <b>AND</b> Certification that no subsequent residence has been identified; <b>AND</b> Self-certification or other written documentation that household lack the financial resources and support necessary to obtain permanent housing (PH).</li> <li>2. Certification that no residence has been identified and family lacks the resources and support networks needed to obtain other permanent housing</li> </ol>	<ol style="list-style-type: none"> <li>1. Certification by non-profit, local and state government that the household seeking assistance met the homelessness criteria under another federal statute; <b>AND</b> Certification of no PH in last 60 days; <b>AND</b> Self-Certification by the head of household and any available supporting documentation, that they have moved two (2) or more times in the past 60 days; <b>AND</b> Documentation of special needs or 2 or more barriers.</li> </ol>	<ol style="list-style-type: none"> <li>1. Oral statement by individual or head of household which states; they are fleeing; they have no other subsequent residence and lack resources. (Statement must be documented by self-certification or intake worker).</li> </ol>	<ol style="list-style-type: none"> <li>1. Evidence family is below 30% AMI</li> <li>2. The program participant's certification on a form that they have insufficient financial resources and support networks</li> <li>3. Documentation of #/dates of moves <b>OR</b> 21-day notice <b>OR</b> Documentation of housing (hotel/motel, institution, SRO, etc) or Documentation of characteristics associated with housing instability and increased risk of homelessness</li> </ol>

# 4. Verification Client is below 30% AMI

- Include in the household's file the annual income determination of all household members over the age of 18. To know what to include in income calculation, [Income and Asset Inclusions and Exclusions can be found here.](#)
- Proper supporting documentation proving annual income must also be included in the file.
- Area Median Income (AMI) is defined by HUD and updated annually. HUD income limits for the client's area can be found here - [Income Limits | HUD USER](#)
- Optional Form to use:
  - [You may use the "ESG Income and Asset Calculation Worksheet" that is linked here and found on our ESG website.](#)
  - You may also use the [CPD Income Eligibility Calculator](#) to show income determination

# 4. Verification Client is below 30% AMI

## Supporting Documentation

Source Documents	Third-Party Verification	Self-Certification
<p>PREFERRED METHOD OF PROVING ANNUAL INCOME</p> <ul style="list-style-type: none"> <li>• <a href="#">"ESG Income and Asset Calculation Worksheet" linked here satisfies the requirement of showing income determination.</a> OR <a href="#">CPD Income Eligibility Calculator</a></li> </ul> <p>AND supporting documentation</p> <ul style="list-style-type: none"> <li>• Pay stubs</li> <li>• Unemployment compensation</li> <li>• Public benefits statement</li> <li>• Bank statement</li> </ul>	<p>ONLY IF SOURCE DOCUMENTATION CANNOT BE OBTAINED</p> <ul style="list-style-type: none"> <li>• A written statement by a relevant third-party (employer or government benefits admin) of client's income</li> <li>• <a href="#">"Third-Party Verification of Income" form linked here &amp; on our website for third-parties to fill out to certify income.</a></li> <li>• Case managers must record all attempts of due diligence to obtain source documentation for client file</li> </ul>	<p>ONLY TO BE USED AS A LAST RESORT</p> <ul style="list-style-type: none"> <li>• Written certification by the client of the amount of income they have received for the most recent period and includes the income that the client is reasonably expected to receive over the next 3-month period</li> <li>• <a href="#">"ESG Self-Certification of Income" is linked here and can be used as a way for a client to self-certify their income.</a></li> </ul>

## 5. Record of Services Provided

- All eligible Homelessness Prevention activities provided on an **individual basis** should be tracked in the client's file

<u>Financial Assistance</u>	<u>Rental Assistance</u>	<u>Stabilization Services</u>
<input type="checkbox"/> Rental application fees	<input type="checkbox"/> Short-term Rental Assistance	<input type="checkbox"/> Housing search and placement
<input type="checkbox"/> Security deposit	<input type="checkbox"/> Medium-term Rental Assistance	<input type="checkbox"/> Housing stability case management
<input type="checkbox"/> Last month's rent	<input type="checkbox"/> Rental arrears	<input type="checkbox"/> Mediation
<input type="checkbox"/> Utility deposits/payments		<input type="checkbox"/> Legal services
<input type="checkbox"/> Moving costs		<input type="checkbox"/> Credit repair

- Case notes are a recommended option to satisfy this client file requirement
- Any financial assistance supporting documentation should also be collected and inserted in the client's chart as a part of #9 of the Homelessness Prevention Client File Checklist

## 6. Referral & Connection

THDA grantees are expected to provide case management to all ESG program participants, including connecting program participants to mainstream and other resources. Grantees should assist each program participant, as needed, to obtain:

1. Appropriate supportive services, including assistance in obtaining permanent housing, medical health treatment, mental health treatment, counseling, supervision, and other services essential for achieving independent living; AND
  2. Other Federal, State, local, and private assistance available to assist the program participant in obtaining housing stability, including:
    - A. Medicaid (42 CFR chapter IV, subchapter C)
    - B. Supplemental Nutrition Assistance Program (7 CFR parts 271– 283);
    - C. Women, Infants and Children (WIC) (7 CFR part 246);
    - D. Federal-State Unemployment Insurance Program (20 CFR parts 601– 603, 606, 609, 614–617, 625, 640, 650);
    - E. Social Security Disability Insurance (SSDI) (20 CFR part 404);
    - F. Supplemental Security Income (SSI) (20 CFR part 416);
    - G. Child and Adult Care Food Program (42 U.S.C. 1766(t) (7 CFR part 226));
    - H. Other assistance available under the programs listed in § 576.400(c).
- Optional Form to use:
    - [Referral Tracking Tool can record referrals and connections found on our website and linked here.](#)

# 7. Record of Case Management Meetings

- Case notes should outline the client's circumstances and record their progress in the program, as well as what services and referrals your agency is providing
- As a part of ESG's Housing Stability Case Management, it is required for:
  - The client to meet with a case manager not less than once per month to assist the program participant in ensuring long-term housing stability
  - To develop a plan to assist the program participant to retain permanent housing after the ESG assistance ends, taking into account all relevant considerations, such as the program participant's current or expected income and expenses; other public or private assistance for which the program participant will be eligible and likely to receive; and the relative affordability of available housing in the area
- Optional Forms to use:
  - "ESG Housing & Critical Needs Assessment" will help to understand your client's barriers and create goals. (initial meeting)
  - "ESG Housing Stability Plan" is to be used in conjunction with the Needs Assessment to track client progress while in the program.

## 8. Evidence of Continued Eligibility

- Homelessness Prevention requires re-evaluation of the client's need for services at least once every three months.
- Agency may require clients to inform agency of relevant changes in income or circumstance which could prompt a re-evaluation more frequently. If your agency chooses to do this, you must outline this in your agency's ESG Written Standards and follow them consistently.
- For client to continue receiving services, re-evaluations must show:
  - Income is at or below 30% AMI. *Documentation requirements on the next slide.*
  - Client lacks sufficient resources to maintain their housing on their own. Optional Form to use: ["ESG Statement of Insufficient Resources"](#) is linked here and on our website to [satisfy this requirement.](#)
- Be aware: Client is only eligible for a maximum of 24 months of ESG assistance in a 3-year period.

# 8. Evidence of Continued Eligibility Supporting Documentation

Source Documents	Third-Party Verification	Self-Certification
<p>PREFERRED METHOD OF PROVING ANNUAL INCOME</p> <ul style="list-style-type: none"> <li>• <a href="#">"ESG Income and Asset Calculation Worksheet" linked here satisfies the requirement of showing income determination.</a></li> <li>• <a href="#">ESG Statement of Insufficient Resources</a></li> </ul> <p>AND Supporting Documentation:</p> <ul style="list-style-type: none"> <li>• Pay stubs</li> <li>• Unemployment compensation</li> <li>• Public benefits statement</li> <li>• Bank statement</li> </ul>	<p>ONLY IF SOURCE DOCUMENTATION CANNOT BE OBTAINED</p> <ul style="list-style-type: none"> <li>• A written statement by a relevant third-party (employer or government benefits admin) of client's income</li> <li>• <a href="#">"Third-Party Verification of Income" form linked here &amp; on our website for third-parties to fill out to certify income.</a></li> <li>• Case managers must record all attempts of due diligence to obtain source documentation for client file</li> </ul>	<p>ONLY TO BE USED AS A LAST RESORT</p> <ul style="list-style-type: none"> <li>• Written certification by the client of the amount of income they have received for the most recent period and includes the income that the client is reasonably expected to receive over the next 3-month period</li> <li>• <a href="#">"ESG Self-Certification of Income" is linked here and can be used as a way for a client to self-certify their income.</a></li> </ul>

# 9. Financial Assistance Tracking

All stabilizations services, financial assistance and rental assistance provided to the client on an individual basis should be tracked in the client's file

Payment documentation and supporting documentation should be included as necessary:

- Payment documentation includes **invoices and proof of payments** for all services and/or hotel costs provided to the participant. Minimum required would be a receipt. If a check was used, include the copy of the check.
  - Supporting documentation may include examples: reasoning as to why application fee was over \$50, lease if the landlord did not provide an invoice for security deposit, any answers to discrepancies that may come up in a file review.
- Optional Form to use:
    - [Financial Assistance Tracking Form can be found on our website and linked here.](#)

# 10. Termination Procedure

24 CFR 576.402

If a program participant violates program requirements, the agency may terminate the assistance in accordance with a formal process established by the agency that recognizes the rights of individuals affected. The agency must exercise judgment and examine all extenuating circumstances in determining when violations warrant termination so that a program participant's assistance is terminated only in the most severe cases.

***To terminate Homelessness Prevention assistance, the termination process at minimum must consist of the following:***

1. Written notice to the program participant containing a clear statement of the reasons for termination;
2. A review of the decision, in which the program participant is given the opportunity to present written or oral objections before a person other than the person (or a subordinate of that person) who made or approved the termination decision; and
3. Prompt written notice of the final decision to the program participant.

Termination under this section does not bar the agency from providing further assistance later to the same family or individual.

Rapid Re-Housing and Homelessness Prevention Components		
Rental Assistance <sup>o</sup>	Housing Relocation and Stabilization Services	
	Financial Assistance	Services Costs
<u>Eligible activity types:</u> <ul style="list-style-type: none"> <li>• Short-term rental assistance</li> <li>• Medium-term rental assistance</li> <li>• Rental arrears</li> </ul> <p>*Rental assistance can be project-based or tenant-based.</p>	<u>Eligible activity types:</u> <ul style="list-style-type: none"> <li>• Rental Application Fees</li> <li>• Security Deposits</li> <li>• Last Month's Rent</li> <li>• Utility Deposits</li> <li>• Utility Payments</li> <li>• Moving Costs</li> </ul>	<u>Eligible activity types:</u> <ul style="list-style-type: none"> <li>• Housing Search and Placement</li> <li>• Housing Stability Case Management</li> <li>• Mediation</li> <li>• Legal Services</li> <li>• Credit Repair</li> </ul>

# FILE REQUIREMENTS VARY BASED ON SERVICES PROVIDED

Footnote exceptions:

1. When providing homelessness prevention Stabilization Services only assistance – housing search and placement, housing stability case management, mediation, legal services, and credit repair – to keep a program participant in the same unit, a lead-based paint assessment is not required.
3. Participants in HMIS excludes victim service providers and legal service providers, which must maintain a comparable database.
4. A one-time payment of rental arrears of the tenant's portion of the rental payment is permitted while the program participant is receiving another subsidy for rent.

	Standard	Rental Assistance	Housing Relocation and Stabilization Services	
			Financial Assistance	Services
<b>Fair Market Rent</b> <i>24 CFR 576.106(d)</i>		X		
<b>Rent Reasonableness</b> <i>24 CFR 576.106(d)</i>		X		
<b>Housing Standards</b> <i>24 CFR 576.403(c)</i>	X		X	X
<b>Lead-based paint requirements</b> <i>24 CFR 576.403(a)</i>	X		X	X <sup>1</sup>
<b>Lease between the program participant and landlord</b> <i>24 CFR 576.106(g)</i>		X		
<b>Rental assistance agreement between the landlord and recipient or subrecipient</b> <i>24 CFR 576.106(e)</i>		X		
<b>Maximum Amounts and Periods of Assistance (24-month cap in 3-year period)</b> <i>24 CFR 576.105(c) &amp; 576.106(a)</i>	X		X	X <sup>2</sup>
<b>Participation in HMIS<sup>3</sup></b> <i>24 CFR 576.400(f)</i>	X		X	X
<b>Prohibition of use with other subsidies</b> <i>24 CFR 576.104(d) &amp; 576.106(c)</i>		X <sup>4</sup>	X	
<b>Recordkeeping and Reporting Requirements</b> <i>24 CFR 576.500</i>		X	X	X

# 11.

## If the client was provided *Stabilization Services*



Record of all services provided – This could be with case notes or a services tracking sheet. Make sure it is clear in the client's file.



If any ESG funds were used to provide client with Stabilization Services – Record in client file all payments made with payment documentation & supporting documentation



Agency staff checked and confirmed in HMIS or comparable database that client has not exceeded 24 months of assistance in a three-year period

# 12. If the client was provided *Financial Assistance*



Minimum Habitability Standards form completed by case manager.



Lead-Based Paint Visual Assessment form completed by case manager. If form triggered an assessment, all remediations were taken care of prior to ESG funding.



Agency staff checked and confirmed in HMIS or comparable database that client has not exceeded 24 months of assistance in a three-year period



Agency staff checked HMIS or comparable database that other federally funded financial assistance has not been given to client during the same time



If any ESG funds were used to provide client with Financial Assistance – Record in client file all payments made with payment documentation & supporting documentation

# 13. If the client was provided *Rental Assistance*



Copy of Lease Agreement signed between landlord and tenant



VAWA Lease Addendum signed by landlord and tenant



Documentation of VAWA Protections were provided to client



Documentation of Rent Reasonableness, Fair Market Rent & Minimum Habitability Standards completed by case manager



Lead-Based Paint Visual Assessment form completed by case manager. If form triggered an assessment, all remediations were taken care of prior to ESG funding.



Rental Assistance Agreement signed between agency and landlord



Agency staff checked and confirmed in HMIS or comparable database that client has not exceeded 24 months of assistance in a three-year period & that they are not receiving other federally funded rental assistance during the same time as ESG assistance



If any ESG funds were used to provide client with Rental Assistance – Record in client file all payments made with payment documentation & supporting documentation

# Lease

Required in client's file if Rental Assistance was provided.

- Legally binding, written lease for the rental unit, unless the assistance is solely for rental arrears.
- The lease must be between the owner and the program participant for valid dates that services are being provided.
- If lease term has ended, additional documentation that lease is month-to-month is required.
- If rent amount in lease does not match what is being paid, documentation from the landlord of the raised rent is required.

# VAWA Protections

Required in client's file if Rental Assistance was provided.

- The Violence Against Women Act (“VAWA”) protects applicants, tenants, and program participants in certain HUD programs from being evicted, denied housing assistance, or terminated from housing assistance based on acts of domestic violence, dating violence, sexual assault, or stalking against them.
- VAWA Protections are available to people of *all genders*, regardless of sex, gender identity, sexual orientation, race, color, national origin, familial status, disability or age. The following must be given to all clients when they receive rental assistance:
  - *Signed by landlord and tenant: VAWA Lease Addendum*
  - *HUD Form 5380 “Notice of Occupancy Rights under the Violence Against Women Act” (also required at ESG program entry, regardless if rental assistance was provided)*
  - *HUD Form 5382 “Certification of Domestic Violence, Dating Violence, Sexual Assault or Stalking & Alternate Documentation”*
- Forms on HUD VAWA website are currently expired. HUD is working on new forms. We’ve been instructed to use the expired forms until new forms are posted. As of 10/10/24 HUD states that new forms are set to be posted to the HUD’S VAWA website soon.

# VAWA Lease Addendum

Required in client's file if Rental Assistance was provided.

- VAWA lease addendum is required for all ESG program participants who are receiving rental assistance.
- VAWA lease addendum protects the client from being evicted due to domestic violence, stalking, etc. while receiving assistance with a covered housing provider. Must be included with all clients, regardless of gender or history of DV.
- If VAWA lease addendum is already in lease, an additional one does not need to be included.
- VAWA lease addendum term can end when the rental assistance agreement term ends between the agency and the landlord.

# HUD Form 5380

## “Notice of Occupancy Rights”

- This must be given to the program participant at project entry AND when rental assistance is provided to client.
- The HUD Form 5380 is linked here as a Word doc - <https://thda.org/pdf/7.-5380.docx>
- Every agency needs to edit this form for their own agency PRIOR to giving to clients.
- Where form says, “**[insert name of program or rental assistance]**” you must change that to your agency’s name.
- The last page of this form requires that you insert your HUD field office, relevant providers of DV services, etc.

**TO BE COMPLETED BY OR ON BEHALF OF THE VICTIM OF DOMESTIC VIOLENCE, DATING VIOLENCE, SEXUAL ASSAULT, OR STALKING**

1. Date the written request is received by victim: \_\_\_\_\_
2. Name of victim: \_\_\_\_\_
3. Your name (if different from victim's): \_\_\_\_\_
4. Name(s) of other family member(s) listed on the lease: \_\_\_\_\_

5. Residence of victim: \_\_\_\_\_

6. Name of the accused perpetrator: \_\_\_\_\_

7. Relationship of the accused perpetrator to victim: \_\_\_\_\_

8. Date(s) and time(s) of incident(s): \_\_\_\_\_

10. Location of incident(s): \_\_\_\_\_

In your own words, briefly describe the incident(s) of domestic violence, dating violence, sexual assault, or stalking.

This is to certify that the information provided is true and correct to the best of your knowledge and recollection, and that the individual(s) named in this form are the victim(s) of domestic violence, dating violence, sexual assault, or stalking, and that the information provided is to be used for the purpose of determining if the tenant is a victim of domestic violence, dating violence, sexual assault, or stalking, and if you are not required to complete this form, you are not required to complete this form.

Signature \_\_\_\_\_

**Public Reporting Burden:** The average 1 hour per response. This information provided is to be used for the purpose of determining if the tenant is a victim of domestic violence, dating violence, sexual assault, or stalking, and if you are not required to complete this form, you are not required to complete this form. Budget control number.

**CERTIFICATION OF DOMESTIC VIOLENCE, DATING VIOLENCE, SEXUAL ASSAULT, OR STALKING, AND ALTERNATE DOCUMENTATION**

U.S. Department of Housing and Urban Development

OMB Approval No. 2577-0286  
Exp. 06/30/2017

**Purpose of Form:** The Violence Against Women Act ("VAWA") protects applicants, tenants, and program participants in certain HUD programs from being evicted, denied housing assistance, or terminated from housing assistance based on acts of domestic violence, dating violence, sexual assault, or stalking against them. Despite the name of this law, VAWA protection is available to victims of domestic violence, dating violence, sexual assault, and stalking, regardless of sex, gender identity, or sexual orientation.

**Use of This Optional Form:** If you are seeking VAWA protections from your housing provider, your housing provider may give you a written request that asks you to submit documentation about the incident or incidents of domestic violence, dating violence, sexual assault, or stalking.

In response to this request, you or someone on your behalf may complete this optional form and submit it to your housing provider, or you may submit one of the following types of third-party documentation:

- (1) A document signed by you and an employee, agent, or volunteer of a victim service provider, an attorney, or medical professional, or a mental health professional (collectively, "professional") from whom you have sought assistance relating to domestic violence, dating violence, sexual assault, or stalking, or the effects of abuse. The document must specify, under penalty of perjury, that the professional believes the incident or incidents of domestic violence, dating violence, sexual assault, or stalking occurred and meet the definition of "domestic violence," "dating violence," "sexual assault," or "stalking" in HUD's regulations at 24 CFR 5.2003.
- (2) A record of a Federal, State, tribal, territorial or local law enforcement agency, court, or administrative agency; or
- (3) At the discretion of the housing provider, a statement or other evidence provided by the applicant or tenant.

**Submission of Documentation:** The time period to submit documentation is 14 business days from the date that you receive a written request from your housing provider asking that you provide documentation of the occurrence of domestic violence, dating violence, sexual assault, or stalking. Your housing provider may, but is not required to, extend the time period to submit the documentation, if you request an extension of the time period. If the requested information is not received within 14 business days of when you received the request for the documentation, or any extension of the date provided by your housing provider, your housing provider does not need to grant you any of the VAWA protections. Distribution or issuance of this form does not serve as a written request for certification.

**Confidentiality:** All information provided to your housing provider concerning the incident(s) of domestic violence, dating violence, sexual assault, or stalking shall be kept confidential and such details shall not be entered into any shared database. Employees of your housing provider are not to have access to these details unless to grant or deny VAWA protections to you, and such employees may not disclose this information to any other entity or individual, except to the extent that disclosure is: (i) consented to by you in writing in a time-limited release; (ii) required for use in an eviction proceeding or hearing regarding termination of assistance; or (iii) otherwise required by applicable law.

# HUD Form 5382 "Certification of DV, Dating Violence, Sexual Assault, or Stalking and Alternate Documentation"

- If a tenant ever needs to seek VAWA protections from their housing provider (landlord/owner), their housing provider may give a written request that asks to submit documentation about the incident or incidents of domestic violence, dating violence, sexual assault, or stalking.
- The tenant then responds to the housing providers request with this form within 14 business days from the date of the written request from the housing provider.
- This form instructs tenants on how to submit the necessary supporting documentation along with the second page of this form in response to their housing provider's request to activate their rights under VAWA.

# Rent Reasonableness

Required in client's file if Rental Assistance was provided.

- Unit must comply with HUD's standard of rent reasonableness.
- This rent restriction is intended to make sure that program participants can remain in their housing after their ESG assistance ends.
- [Rent Reasonableness Form linked here must be completed and included in the client's file.](#)

RENT REASONABLENESS CHECKLIST AND CERTIFICATION

	Proposed Unit	Unit #1	Unit #2	Unit #3
Address				
Number of Bedrooms				
Square Feet				
Type of Unit/Construction				
Housing Condition				
Location/Accessibility				
Amenities				
Unit:				
Site:				
Neighborhood:				
Age in Years				
Utilities (type)				
Unit Rent				
Utility Allowance				
Gross Rent				
Handicap Accessible?				

CERTIFICATION:

A. Compliance with Rent Reasonableness Payment Standard:

$$\text{Proposed Contract Rent} + \text{Utility Allowance} = \text{Proposed Gross Rent}$$

Approved rent does not exceed applicable RR Payment Standard of \$ \_\_\_\_\_  
(Average Gross Rent of Units 1, 2 & 3)

B. Rent Reasonableness

Based upon a comparison with rents for comparable units, I have determined that the proposed rent for the unit [ ] is [ ] is not reasonable.

Name:	Signature:	Date:
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# Rent Reasonableness Form

- This form compares the average gross rent (unit rent + utility allowance) of three comparable units to the proposed unit the client is to move into.
- Find comparable units online at Zillow, apartments.com, etc.
- Utility allowances separated by county and linked here. All utilities included in lease price should not be included in Utility Allowance.
  - A. Unit Rent + Utility Allowance = Gross Rent does not exceed the average gross rent of the three comparable units
  - B. Mark whether the unit is reasonable or not
  - C. Case manager signs and certifies the Rent Reasonable Form and includes in client's file

# Fair Market Rent

Required in client's file if Rental Assistance was provided.

- Unit must not exceed the fair market rent established by HUD
  - This rent restriction is intended to make sure that program participants can remain in their housing after their ESG assistance ends.
1. [Go to Fair Market Rents from HUD linked here.](#)
  2. Select appropriate Fiscal Year. 2025 Fiscal Year begins on Oct 1, 2024.
  3. Select State and County the prospective unit is located.
  4. Include in the client's file a screen shot of the Fair Market Rent page of the county the unit is in to prove that unit meets FMR. Clarify how many bedrooms the unit is on documentation or in case note.

# Minimum Habitability Standards

Required in client's file if Rental Assistance and/or Financial Assistance was provided.

- Unit must be inspected by case manager *prior* to providing rental/financial assistance
- ESG funds may not be committed for a unit until compliance with these standards for the unit has been documented.
- Grantees are responsible for maintaining documentation of compliance with these standards for each unit assisted with ESG funds.
- Habitability standard inspections must be made by the grantee or by a contracted third-party of the grantee. Program participants MAY NOT conduct an inspection of a unit that they will occupy.

**CERTIFICATION STATEMENT**

I certify that I have evaluated the property located at the address below to the best of my ability and find the following:

Property meets all of the above standards.

Property does not meet all of the above standards.

**COMMENTS:**

ESG Recipient Name: \_\_\_\_\_

ESG Subrecipient Name: \_\_\_\_\_

Program Participant Name: \_\_\_\_\_

Street Address: \_\_\_\_\_

Apartment: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ Zip: \_\_\_\_\_

Evaluator Signature: \_\_\_\_\_

Evaluator Name: \_\_\_\_\_

Approving Official Signature (if applicable): \_\_\_\_\_

Approving Official Name (if applicable): \_\_\_\_\_

**Minimum Standards for Permanent Housing**

**Instructions:** Place a check mark in the correct column to indicate whether the property is approved or deficient with respect to each standard. The property must meet all standards in order to be approved. A copy of this checklist should be placed in the client file.

Approved	Deficient	Standard <i>(24 CFR part 576.403(c))</i>
		1. <i>Structure and materials:</i> The structure is structurally sound to protect the residents from the elements and not pose any threat to the health and safety of the residents.
		2. <i>Space and security:</i> Each resident is provided adequate space and security for themselves and their belongings. Each resident is provided an acceptable place to sleep.
		3. <i>Interior air quality:</i> Each room or space has a natural or mechanical means of ventilation. The interior air is free of pollutants at a level that might threaten or harm the health of residents.
		4. <i>Water Supply:</i> The water supply is free from contamination.
		5. <i>Sanitary Facilities:</i> Residents have access to sufficient sanitary facilities that are in proper operating condition, are private, and are adequate for personal cleanliness and the disposal of human waste.
		6. <i>Thermal environment:</i> The housing has any necessary heating/cooling facilities in proper operating condition.
		7. <i>Illumination and electricity:</i> The structure has adequate natural or artificial illumination to permit normal indoor activities and support health and safety. There are sufficient electrical sources to permit the safe use of electrical appliances in the structure.
		8. <i>Food preparation:</i> All food preparation areas contain suitable space and equipment to store, prepare, and serve food in a safe and sanitary manner.
		9. <i>Sanitary condition:</i> The housing is maintained in sanitary condition.
		10. <i>Fire safety:</i> a. There is a second means of exiting the building in the event of fire or other emergency. b. The unit includes at least one battery-operated or hard-wired smoke detector, in proper working condition, on each occupied level of the unit. Smoke detectors are located, to the extent practicable, in a hallway adjacent to a bedroom. c. If the unit is occupied by hearing-impaired persons, smoke detectors have an alarm system designed for hearing-impaired persons in each bedroom occupied by a hearing-impaired person. d. The public areas are equipped with a sufficient number, but not less than one for each area, of battery-operated or hard-wired smoke detectors. Public areas include, but are not limited to, laundry rooms, day care centers, hallways, stairwells, and other common areas.
		11. Meets additional recipient/subrecipient standards (if any).

# Minimum Habitability Standards Form

- [ESG Minimum Habitability Standards for Permanent Housing](#) is linked here & must be completed and included in client's file. Permanent Housing Checklist begins on page 4 of the document.
- Carefully read each statement and indicate the unit's status for each requirement (Approved or Deficient).
- Add any comments and corrective actions needed in the appropriate box.
- The reviewer should complete the information about the project, and sign and date the form. This template includes space for an "approving official," if the grantee has designated another authority to approve the review.
- When the assessment is complete, review it with program staff and develop an action plan for addressing any areas requiring corrective action.

# Lead-Based Paint Visual Assessment Form

Required in client's file if Rental Assistance and/or Financial Assistance was provided.

- For homelessness prevention and rapid re-housing, the rule is that a lead-based paint visual assessment form must be completed for all units that meet each of the three following conditions:
  - The household living in the unit is being assisted with ESG financial assistance (rent assistance, utilities assistance, utility/security deposits, or arrears), AND
  - The unit was constructed prior to 1978, AND
  - A child under the age of six, or a woman who could become pregnant, is or may be living in the unit
- [Lead-Based Paint Visual Assessment is found here and should be included in client file.](#)
- In any property meeting all of the above three conditions, grantees must carry out appropriate measures per guidance from THDA and HUD.
- If the unit fails the lead-based paint visual assessment, and the landlord will not provide the appropriate step for remediation, then ESG financial assistance (rent, assistance, utilities assistance, utility/security deposits, or arrears) cannot be provided for the unit. Emergency Shelter grantees refer to 24 CFR part 35, subpart K of the implementing regulations for guidance on appropriate steps for lead-based paint inspection and remediation.

## ESG Lead-Based Paint Visual Assessment

All units in which ESG program participants reside are subject to LBP requirements. Individuals completing this form must complete the online HUD training:

<https://apps.hud.gov/offices/lead/training/visualassessment/h00101.htm>

Program Participant Name: \_\_\_\_\_

Property Address: \_\_\_\_\_

Property Owner Name: \_\_\_\_\_

Check all that apply:

- Property was built after 1978  
If built after 1978 - Year Built: \_\_\_\_\_
- No child under 6 lives with program participant
- Property is zero bedrooms, SRO housing, elderly housing
- Property has been tested and determined to not contain LBP (attach documentation)
- Property has had LBP hazards removed (attach documentation)

If any items are checked above, no Visual Assessment is required. Please include signatures of participant and agency, and date. If no items are checked above, Visual Assessment is required.

- Interior: Is there any peeling, chipping, chalking or cracking paint?
- Interior: Deterioration exceeds the de minimis level?
- Exterior: Is there any peeling, chipping, chalking or cracking paint?
- Exterior: Deterioration exceeds the de minimis level?
- Common Areas: Is there any peeling, chipping, chalking or cracking paint?
- Common Areas: Deterioration exceeds the de minimis level?

Describe any action taken:

Program Participant: \_\_\_\_\_ Date: \_\_\_\_\_

Program Staff Person: \_\_\_\_\_ Date: \_\_\_\_\_



# Lead-Based Paint Visual Assessment Form

- Those completing the LBP Visual Assessment Form need to complete this training linked here first. Documentation of completed training should be kept in your agency's records.
- Complete all lines with information and check boxes when necessary.
- If any boxes are checked, an actual visual assessment is not needed. Otherwise, complete visual assessment as required and describe any action taken to remediate any LBP problems.
- Program participant and staff sign and dates. Include in client's chart.

# Rental Assistance Agreement

Required in client's file if Rental Assistance was provided.

- Must be between the owner/landlord and agency
- The rental assistance agreement must contain the same payment due date, grace period, and late payment penalty requirements as the program participant's lease.
- Payments must be made to the owner who has signed the rental assistance agreement
- The rental assistance agreement must set forth the terms under which rental assistance will be provided. The rental assistance agreement must provide that, during the term of the agreement, the owner must give the agency a copy of any notice to the program participant to vacate the housing unit or any complaint used under State or local law to commence an eviction action against the program participant.
- Late fees incurred after the date the rental assistance agreement is signed are not eligible. Agency is responsible to make timely payments to each owner in accordance with the rental assistance agreement. The agency is solely responsible for paying late payment penalties that it incurs with non-ESG funds.
- If the program participant moves out of the housing unit for which the program participant has a lease, the lease terminates and is not renewed, or the program participant becomes ineligible to receive ESG rental assistance the Rental Assistance Agreement is null and payments to landlord must stop.

# Staff Checks HMIS & Ensures **no other** Federal Subsidies

Required in every client's file regardless of type of service provided.

- Staff checks HMIS (or THE HMIS COMPARABLE DATABASE) to determine if the applicant is currently receiving assistance from any other federal funding sources. Also review the client's lease to ensure that they do not have other vouchers – if they do, you may only pay arrears, not prospective rent.
- Clients cannot receive funding for duplicate services at the same time.
- Documentation may include one or all of the following:
  - A HMIS screenshot showing no other services being utilized
  - Case manager may also complete a case note which states there is no other federal services
  - Self-certification from the client that they are not receiving other federal services

# Record Retention

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- Documentation of each program participant's qualification as a family or individual at risk of homelessness or as a homeless family or individual and other program participant records must be retained for 5 years after the expenditure of all funds from the grant under which the program participant was served
- This includes records of clients who were deemed ineligible for the ESG program detailing why they were ineligible
- If you think you may have issues with complying with this record retention regulation, please contact THDA for remediation

# What are ESG Written Standards?

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- Standard Policies and Procedures for your ESG program, must also align with CoC Written Standards
- Each ESG program component has differing minimum standards that need to be included
- The *ESG Written Standards Checklist* outlines each requirement per program component
- Must be followed consistently throughout the grant year and with each client that you serve
- ESG Written Standards are required to be sent in with each agency's ESG application and are reviewed by THDA – changes may be necessary
- Any changes made to your Policies and Procedures must have Board approval and a Board Resolution of those approved Policies and Procedures must be documented
- When drafting ESG written standards that meet minimum requirements consult your CoC Lead to ensure Written Standards align and do not hesitate to reach out to our team for additional assistance

# Written Standards required in ALL ESG Components

Include your agency's services area. All counties and cities you will serve.	Standards include the area of service where assistance is to be offered.
List all program components and eligible services you will provide and reimburse to THDA.	<ul style="list-style-type: none"><li>Standards include all type(s) of assistance that will be offered through the ESG program. Describe all ESG program components, essential services and eligible costs your agency will provide with ESG. **</li></ul>
<u><a href="#">Use ESG's Program Guide for definitions linked here</a></u>	<ul style="list-style-type: none"><li>Standards shall include HUD definitions of homeless and at-risk of homelessness, as defined in 24 CFR 576.2.</li></ul>
What is the procedure for assessing a client's eligibility? What forms and supporting documentation do you require? Include "Order of Obtaining Documentation" requirements.	<ul style="list-style-type: none"><li>Standards summarize the procedure in place that defines how program participants will be evaluated for eligibility of assistance under the ESG program. **</li></ul>
List actual programs in your area that your agency partners with. Include your CE participation.	<ul style="list-style-type: none"><li>Standards include procedures describing the coordination with other targeted homeless programs and mainstream services. Explain participation in Coordinated Entry. **</li></ul>
What is your termination procedure Must ensure there's review procedure to show termination in severe circumstances. Inform clients of rules and termination policy at entry.	<ul style="list-style-type: none"><li>Standards describe the formal termination process established by the agency that recognizes the rights of individuals affected. **</li></ul>
Procedure to provide all HMIS releases, forms, grievance policy. Include procedure for data quality, time frame for data to be entered and confidentiality.	<ul style="list-style-type: none"><li>Standards include steps used to ensure compliance with HMIS. **</li></ul>

\*\*Refer to [ESG Written Standards Checklist](#) for more detail each of these Written Standard requirements.

# Written Standards for Homelessness Prevention

How does your program prioritize referrals. First come first serve? Coordinated Entry? Other?

- Standards include a process for determining and prioritizing which eligible families and individuals will receive homeless prevention and/or rapid re-housing assistance. \*\*

How will you determine cost sharing? If you will not require cost sharing, include that instead.

- Standards for determining what percentage or amount of rent and utilities costs each program participant must pay while receiving homelessness prevention or rapid re-housing assistance.

What are the program's limits, if any: Maximum amounts assistance/ number of months/ or number of times they can receive assistance.

- Standards for determining the type, amount, and duration of housing stabilization and/or relocation services to provide to a program participant, including the limits, if any, on the homelessness prevention that each program participant may receive, such as the maximum amount of assistance, maximum number of months the program participant receive assistance; or the maximum number of times the program participant may receive assistance.. \*\*

How will you ensure that no other federal subsidies are being paid for at the same time as ESG?

- Other than a one-time payment of arrears, agencies must enact procedures to ensure that program participants are not receiving any other subsidies prior to rental assistance payments being made.

What is your agency's procedure for completing all of these required forms before assistance is provided.

- Standards include how agency staff will document compliance with FMR and rent reasonableness standards for the service area, lead based paint inspections, and housing inspections. Included shall be procedures to verify and document the age of the units built before 1978 may contain lead-based paint.

What are the maximum months of rental assistance provided to a program participant? How are adjustments decided, if any?

- Standards include steps for determining how long a program participants will be provided rental assistance. Include whether or not (and how) the amount of that assistance will be adjusted over time.

\*\*Refer to [ESG Written Standards Checklist](#) for more detail each of these Written Standard requirements.

# Written Standards for Homelessness Prevention

What is your procedure for conducting Case Management meetings with clients and forming a plan for permanent housing and stability? Ensure that clients are meeting with their case manager at least once a month.

- Standards include Housing Stability Case Management requirements as meeting with participants at least once a month and develop a plan to assist the program participant to retain permanent housing after the ESG assistance ends, taking into account all relevant considerations of the participant's circumstances. \*\*

What is your procedure surrounding Re-evaluations. Ensure all necessary requirements are addressed.

- Standards include requirements that clients will be re-evaluated for program eligibility and the types and amounts of assistance the program participant needs. This re-evaluation process shall be conducted not less than **once every 3 months for program participants receiving homelessness prevention assistance**. Requirements of eligibility include income limits shall not exceed 30% of AMI & the participants still lack the resources and support networks necessary to retain housing. \*\*

Will your agency be requiring that any changes in client circumstances (which may alter eligibility) be reported which will trigger a re-evaluation prior to the three-month eligibility window?

- Standards may require each program participant receiving homelessness prevention or rapid re-housing assistance to notify the agency regarding changes in the program participant's income or other circumstances that affect the program participant's need for assistance under ESG. When notified of a relevant change, the agency must re-evaluate the program participant's eligibility and the amount and types of assistance the program participant needs.

What is your agency's Termination Procedure? It must include at the very least steps 1, 2 & 3 of this box and that termination will not prevent services in the future.

- If the program participant receives rental assistance or housing relocation and stabilization services, the Standards shall include the formal process for terminating a program participant that includes: 1) Written notice to the program participant containing a clear statement of the reasons for termination; 2) a review of the decision, in which the participant is given the opportunity to present written or oral objections before a person other than the person who made or approved the termination decision; and 3) prompt written notice of the final decision to the program participant. Included shall be language stating that termination under this section does not bar the participant from providing further assistance at a later date to the same family or individual.

\*\*Refer to [ESG Written Standards Checklist](#) for more detail each of these Written Standard requirements.

# Homelessness Prevention Compliance Overview

Julie Ridenour  
*Senior Housing Programs  
Compliance Coordinator*

# HOMELESS PREVENTION

## OBSERVED FINDINGS & CONCERNS

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Case Notes

Housing Documentation

Financial Records

Termination Process

Exiting Participants from the Program

# CASE NOTES

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***The importance of case notes cannot be stressed enough!***  
***Multiple documentation requirements can be met through case notes.***

- Homeless status 24 CFR 576.500(b)(c) – preference is that the Verification of Homeless Status form on our website is used, but detailed notes can show that order of priority was followed
- Services and assistance provided 24 CFR 576.500(f)(I)
- Monthly meetings with case manager & progress towards housing stability 24 CFR 576.401(e)(i)
- Coordination with Continuum(s) of Care and programs targeted toward people experiencing homelessness and mainstream service and assistance programs 24 CFR 576.401(d), 576.500(m)

# CASE NOTES CONTINUED

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- Re-evaluations 24 CFR 576.401(b) – every 3 months, in combination with income documentation
- Housing stability case management 24 CFR 576.401(e)
- Documentation showing that participant does not have sufficient resources or support networks available to them to prevent them from entering an emergency shelter or places not meant for human habitation 24 CFR 576.2(1)(ii)
- Termination process 24 CFR 576.402, 24 CFR 576.500(f)(3)
- Confirmation of case closure with exit date and reason to confirm participant received less than 24 months of assistance 24 CFR 576.105(c)
- Documentation of program participant self-sustainability when exited 24 CFR 576.401(e)(ii)

# RENTAL ASSISTANCE DOCUMENTATION

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- Lead-based Paint informational brochure & visual assessment form 24 CFR 576.500(j), 576.403(a)
- Habitability inspection form 24 CFR 576.500(j), 576.403(c)(2)
- FMR standards documentation 24 CFR 576.106(d)(1)
- Rent Reasonable documentation 24 CFR 576.106(d)(1)
- Executed rental assistance agreement between the grantee & property owner 24 CFR 576.106(e)
- Executed Lease 24 CFR 576.106(g)

# FINANCIAL RECORDS

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*Must be in the participant file not just submitted to GMS*

The recipient must retain **participant specific** supporting documentation for all costs charged to the ESG grant in the participant file. The recipient and its subrecipients must keep documentation showing that ESG grant funds were spent on allowable costs 24 CFR 576.500(u), 2 CFR 200.302.

# TERMINATION PROCESS

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*At a minimum, the process must include the following:*

- 1) Written notice to the program participant containing a clear statement of the reasons for termination 24 CFR 576.402(b)(1)*
- 2) A review of the decision, in which the program participant is given the opportunity to present written or oral objections before a person other than the person (or a subordinate of that person) who made or approved the termination  
24 CFR 576.402(b)(2)*
- 3) Prompt written notice of the final decision to the program participant  
24 CFR 576.402(b)(3)*

# EXITING A PARTICIPANT FROM THE ESG PROGRAM

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Clients who are successfully exited should  
have documentation in the file:

- Showing an individualized plan to help the participant remain in permanent housing after ESG assistance ends  
*24 CFR 576.401(e)(ii)*
- Showing that the rental assistance agreement with the owner was terminated  
*24 CFR 576.106(h)(3)(i)-(iii)*



# Questions

# Open Discussion - Helpful Implementation Practices

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Preventing  
landlord/tenant  
fraud

Serving those  
who are fleeing  
domestic  
violence

Getting  
volunteers

Landlord  
relationships

Client File  
Checklists

Trauma-  
Informed Care

Improving  
income for  
clients

Case  
management  
importance

# Contact Information for ESG Team

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## **Jodi Smith**

Housing Program Manager

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## **Cheri Ballinger**

Housing Program Coordinator

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## **Brianna Atol**

Senior Housing Program Coordinator

(615) 815-2216

[batol@thda.org](mailto:batol@thda.org)

**To reach our entire team –**

[ESG@thda.org](mailto:ESG@thda.org)

# Contact Information for Compliance and Asset Management (CAM) Team

---

## Heather Reynolds

- Director of Compliance and Asset Management
- (615) 815-2149
- HReynolds@thda.org

## Tanya Jackson

- Housing Programs Compliance Manager
- (615) 815-2039
- TJackson@thda.org

## Julie Ridenour

- Senior Housing Programs Compliance Coordinator
- (615) 815-2196
- JRidenour@thda.org

**To reach our entire team –**  
[CPCCompliance@thda.org](mailto:CPCCompliance@thda.org)

# Additional Resources

## HUD Exchange

- <https://www.hudexchange.info/programs/esg/>

## “Homelessness Prevention: A Review of the Literature”

- [http://www.evidenceonhomelessness.com/wp-content/uploads/2019/02/Homelessness\\_Prevention\\_Literature\\_Synthesis.pdf](http://www.evidenceonhomelessness.com/wp-content/uploads/2019/02/Homelessness_Prevention_Literature_Synthesis.pdf)

## “Homelessness Prevention: Creating Programs That Work” Guide

- <https://endhomelessness.org/wp-content/uploads/2009/07/homelessness-prevention-guide-and-companion.pdf>

## THDA’s ESG Program Guide

- <https://thda.org/pdf/1.-ESG-Guide.pdf>

## ESG Program Forms

- <https://thda.org/government-nonprofit-partners/emergency-solution-grants-esg-program/esg-program-forms>

## HUD’s VAWA Website

- <https://www.hud.gov/VAWA>

## Key Changes in VAWA 2022 Notice that are relevant to ESG

- [https://www.hud.gov/sites/dfiles/Main/documents/VAWA\\_Letter\\_CoC\\_ESG\\_Graantees.pdf](https://www.hud.gov/sites/dfiles/Main/documents/VAWA_Letter_CoC_ESG_Graantees.pdf)

## THDA’s 2020-2024 Consolidated Plan

- [https://thda.org/pdf/RP\\_2020-ConPlan\\_Final\\_Updated.pdf](https://thda.org/pdf/RP_2020-ConPlan_Final_Updated.pdf)