

ESG Monitoring Client File Checklist

AGENCY: _____ **DATE:** ____/____/____

FIRST NAME: _____ **LAST NAME:** _____ **HMIS #:** _____

	Present	Not Present	N/A	Not Completed	
					Comments
PRE-SCREENING ASSESSMENT					
VI-SPDAT or Homeless Prevention Pre-Screen					
HMIS Release of Information (ROI)					
HMIS Entry Printout					
HARA Screening Assessment					
ELIGIBILITY DOCUMENTATION					
Identification (ID, SSN, or Birth Certificate)					
ESG 1: Declaration of Section 214 Status					
ESG 2: Homeless Certification					
ESG 3: At Risk of Homelessness					
ESG 4: Disability Certification					
ESG 5: Self Certification					
ESG 6: Waiver of SER or SER Decision Notice					
ESG 7: Staff Affidavit of Eligibility					
ESG 8: Verification of Tracking of Income					
ESG 9: Verification of Income					
ESG 10: Calculation Worksheet(s)					
HOUSING DOCUMENTATION					
Lease					
Housing Plan(s)					
ESG 11: Request for Lease Approval					
ESG 12: Rent Reasonableness					
ESG 13: Notice of Inspection					
ESG 14: Housing Habitability Standards					
ESG 15: Inspection Deficiencies Notice (if applicable)					
ESG 16: Delayed Exterior Repair (if applicable)					
ESG 17: Owner Certification LBP (if applicable)					
ESG 18: Notice of LBP Risks Assessment					
ESG 19: Disclosure of Info on LBP					
ESG 20: W-9 Request for Taxpayer ID					
ESG 21: Rental Assistance Agreement					
Court Ordered Summons, Complaint or Judgement (if applicable)					
Utility Shut-off Notice (if applicable)					
General Comments:					

Explanation of Required Eligibility Documentation

Release of Information Forms (ROI)

A *HMIS Release of Information* form **must** be signed by each household member aged 18 or older and a copy of each must be kept in the household file.

Screening Assessment/HMIS Printout

Depending on the urgency and priority identified during initial screening, a comprehensive housing assessment will be conducted with the household. This assessment will function as the basis for creating the *Housing Plan*, which serves as the foundation for resources coordination and resolution of the housing crisis. Housing assessments will be done through HMIS.

Identification Documentation

There must be identification documentation for **all** household members whether receiving case management and/or financial assistance. Documentation must be a copy of **one** of the following:

- Driver's License or State ID
- Social Security Card
- Medicaid Card (as a last resort *for children only*)
- Birth Certificate
- Passport

ESG 1 – 2014 Status

ESG assistance is available only to individuals who are US citizens, US nationals, or noncitizens that have eligible immigration status. *At least one family member must be a citizen, national, or noncitizen with eligible immigration status in order for the family to qualify for assistance.* All household members must be listed on the form. Parent or guardian must sign his or her own name for family member(s) under 18 years of age.

ESG 2 – Homeless Certification (Re-Housing Assistance and Prevention)

The *Homeless Certification* indicating the current living situation must be completed and appropriate documentation provided as indicated on the form. *Category 1* is eligible for re-housing assistance; Categories 2 – 4 are considered *homeless* but receive prevention assistance.

Documentation of Proof of Homelessness

Valid proof of homelessness is needed from one of the following sources:

- Agency: This documentation should contain the letterhead of the assisting agency and the dates of service.
- Current Household: If the person's family is evicting him or her, a statement describing the reason for eviction should be signed by the head of household and dated. Every effort must be made to confirm that these circumstances are true, and written verification must be on file describing the efforts and attesting to their validity. The verification should be signed and dated.

ESG 3 – At Risk of Homelessness (Prevention Assistance)

The *At Risk of Homelessness* certification must be completed indicating the current living situation, and providing the appropriate documentation as indicated on the form. Participants *at risk of homelessness* are eligible for prevention assistance.

Documentation of Proof of At Risk of Homelessness

Valid proof of need can be provided by documents such as court-ordered eviction notice and/or utility shutoff.

ESG 4 – Disability Certification

The *Disability Certification* must be completed to prioritize those receiving re-housing assistance.

ESG 5 – Self-Certification

This form must be completed if required verifications/documents cannot be provided and self-certification is the only way to verify information to determine program eligibility.

ESG 6 – Waiver of State Emergency Relief (SER) Denial Letter

If any of the scenario(s) on the form apply, individual(s) would be ineligible for SER and will receive an immediate denial from DHS. In such cases, the Waiver may be used in place of an SER Denial Letter from DHS **for providing rental assistance, paying rental arrearages, and security deposits only**. Before providing utility assistance (deposits, arrearages), the participant **must** first apply to DHS for SER and be denied SER assistance. A copy of the SER Denial Letter must be in the participant file.

State Emergency Relief (SER) Decision Letter

The agency must have a copy of the original application or the decision letter from DHS before providing any housing assistance (such as rental assistance, arrearages, security deposits, etc.) to verify what assistance the household is currently receiving.

ESG 7 – Staff Affidavit

ESG staff and supervisor must sign the Staff Affidavit certifying the person/household meets all requirements to receive ESG assistance and all of the information provided is true and complete to the best of their knowledge. It further certifies that the person(s)/household receiving assistance has not resulted, nor will result, in a personal or financial interest or benefit for Agency Staff or for anyone with whom they have family or business ties.

Income Verification

All sources of household income (including zero income households) for each household member age 18 or older, must be verified and documented at intake and every three (3) months to determine program eligibility. To be eligible for assistance, gross household income must be below 30% area median income (AMI) for the county in which the household resides. For earned income, household must provide two (2) pay stubs, dated within 60 days of receiving assistance.

ESG 8 – Verification Tracking of Income

Income must be verified for all household members age 18 or older. Agencies must record all attempts (*phone logs, email correspondence, copies of certified letters etc.*) to obtain required verifications in the order specified on the form. Staff must provide an explanation on the form if utilizing verification out of the hierarchy sequence. Household member(s) age 18 or older with zero income must complete Step 5 of the form.

ESG 9 – Verification of Income

If household income cannot be verified with third-party source documents (provided by the participant), the Agency must request the income information from income source (i.e. employer/bank etc.)

ESG 10 – Calculation Worksheet

The Calculation Worksheet must be completed at intake and every three (3) months to determine eligibility for ESG assistance. To be eligible for ESG assistance the gross annual household income must be **below 30% AMI**. Income is annualized to project gross annual income; there are no allowances/deductions from the household's gross income.

Client Housing Forms

Lease

A lease is required for households receiving financial assistance. Financial assistance includes: rental assistance, rental arrearages, security deposits, utility deposits, and utility arrearages. All household members must be listed on the lease and a copy of the lease must be maintained in the participant file. For individuals moving into a new unit, the unit must meet habitability standards before the lease is signed and the household moves in. For households already residing in a unit, the unit must meet habitability standards before financial assistance can be provided.

Housing Plan

A *Housing Plan* must be completed for all individuals that receive a housing assessment **and** are determined eligible for services. The Housing Plan is intended to be a guide for both the household and the service agencies.

Condemned Housing

Homeowners and renters living in condemned property are at risk of homelessness and may be eligible for Prevention assistance (not Re-housing) if the household meets ESG eligibility criteria, has proof of condemnation, and will become homeless but for this assistance.

Utility Arrearages from a Previous Address for Re-Housing Participants

Utility arrearages for a previous address may be made, regardless if it was not the household's last address; however, the following guidelines must be followed:

- Utility arrearage payments cannot exceed \$1,500;
- If the utility arrearage is over the \$1,500 maximum, the case manager is required to work with the utility company to set-up a payment plan between the household and the utility company and/or ask the utility company to forgive the debt.
- **Before making payment for utility arrearages**, the case manager must document in the participant's file with either verbal or written documentation from the utility company that by paying a specified amount, again up to \$1,500, the utilities will be turned on for the household by the utility company at the new address.
- A copy of the SER Denial Letter from DHS must be maintained in the participant's file.

ESG 11 (*Optional*) - Lease Approval

The *Lease Approval* form is completed by the applicant and landlord to request the ESG Program Administrator's approval of the unit for which the applicant has elected to receive rental assistance. This form, completed by the caseworker, serves as a briefing for the participant informing them of the FMR, and eligibility size (number of bedrooms) the household is eligible for. The portion of the form completed by the landlord provides size of unit, year built, and who is responsible for utilities. **This form does not take the place of a lease.**

ESG 12 – Rent Reasonableness

Rent comparables are required for all households receiving financial assistance (*i.e. rental assistance, rental arrearages, security deposits, utility deposits, and utility arrearages*). ESG assisted units must rent for a reasonable amount, compared to rents charged for comparable, unassisted units.

Documentation must show the basis for rent reasonableness determinations. The prescribed form provides a rent analysis for three (3) comparable unassisted units. Although it is acceptable to use three (3) unassisted units in the same apartment complex, it is recommended that two comparable units be located in other complexes/locations.

Michigan Housing Locator (www.michiganhousinglocator.com) may also be used to determine rent reasonableness.

ESG 13 (Optional) – Notice of Inspection

All units must be inspected before financial assistance can be provided (*i.e. rental assistance, rental arrearages, security deposits, utility deposits, and utility arrearages*). Landlords and tenants must be notified of the date and time of the inspection and the tenant or the landlord or an adult representative **must be present** at the housing unit during the inspection.

ESG 14 – Habitability Standards Inspection Form

All units **must** meet Habitability Standards before financial assistance (*i.e. rental assistance, rental arrearages, security deposits, utility deposits, and utility arrearages*) can be provided. For individuals moving into a new unit, the unit must meet Habitability Standards before a lease is signed and the household moves into the unit. If water/utilities are not on at the time of initial inspection, a follow-up inspection must be done within 10 days of the water/utilities being turned on.

ESG 15 (Optional) – Inspection Deficiencies Notice

If a unit fails to pass a Habitability Inspection, the owner must be notified in writing of the specific deficiencies and the necessary corrective action that must be completed within a specified timeframe.

Landlords and tenants should be given a reasonable period of time (*i.e., 24 hours for emergency conditions or 30 days for less serious conditions*) to correct the deficiencies. If repairs cannot be made because of inclement weather, the Landlord must complete the Delayed Exterior Repair Agreement (***ESG Form No.16***) stipulating that needed repairs will be completed by the due date(s) specified on the form.

ESG 16 – Delayed Exterior Repair Agreement

If repairs cannot be made because of inclement weather, the Landlord must complete the Delayed Exterior Repair Agreement stipulating that needed repairs will be completed by the due date(s) specified on the form.

ESG 17-19 – Lead-Based Inspection

Lead-Based Paint Inspection is required for properties built before 1978 and if a child age 6 or younger or a *pregnant woman* will be residing in the unit.

The inspection may be visual; however, if the child age 6 or younger has been identified with an *Identified Environmental Intervention Blood Lead Level*, the inspection must be done by a Certified Lead-Based Paint Risk Assessor (***ESG Form No. 18***).

ESG 20 – W-9 Request for Taxpayer Identification Number and Certification

Landlords receiving rent payments must provide the HARA with their *Taxpayer Identification Number* using the W-9 (**ESG Form No. 20**).

ESG 21 – Rental Assistance Agreement

This Agreement covers ESG “Tenant-Based” Rental Assistance and must be completed by the Housing Assessment and Resource Agency (HARA) and Landlord when providing rental assistance under both the homelessness prevention and rapid re-housing components of the ESG Program. When paying rental arrears only a Rental Assistance Agreement is required as arrears are considered rental assistance. The Rental Assistance Agreement does not take the place of the lease between the program participant and landlord.