

Program Review and Certification Documentation For Client Files

Published December 2022

Goal

The goal of this document is to create a reference for Partners to prepare for the annual Program Review & Certification (PR&C) and achieve compliant client files by specific types of programs.

Community Shelter Board acknowledges the dedicated work of all Partners serving those experiencing and at risk of homelessness and hope this document will make it easier to comply with regulations associated with each program type.

This document marries both required and best practice program and data requirements and documents to be kept in client files for CSB and other funder(s) review.

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Helpful Documents

Outreach & Emergency Shelter

HAST screening and prioritization assessment ([singles](#) or [families](#))

[Severity of Service Needs Assessment](#)

Homelessness Prevention

[ODJFS TANF Eligibility form](#)

[VAWA Notice](#) (only if moving into new unit)

[Transfer Request Form](#)

[Lead-based paint inspection](#), [warning](#), and [pamphlet](#) (only if moving into new unit)

HAST screening and prioritization assessment ([singles](#) or [families](#)) (if applicable)

[Annual service needs assessment](#)

[FMR/Rent Reasonableness - City](#)

[FMR/Rent Reasonableness - Suburban](#)

[Habitability Form](#) (if applicable)

Transitional Housing & Rapid Re-Housing

[Homeless Status Documentation](#)

[Homeless Status Documentation \(YHDP\)](#)

[VAWA Notice](#)

[Transfer Request Form](#)

[HQS Inspection](#) (CoC)

[Habitability Form](#) (ESG)

[Lead-based paint inspection](#), [warning](#), and [pamphlet](#)

[FMR/Rent Reasonableness - City](#)

[FMR/Rent Reasonableness - Suburban](#)

[RRH Annual Income Certification](#)

[Annual service needs assessment](#)

[Severity of Service Needs Assessment](#)

Permanent Supportive Housing

[Homeless Status Documentation](#)

[Homeless Status Documentation \(YHDP\)](#)

[VAWA Notice](#)

[Transfer Request Form](#)

[HQS Inspection](#) (CoC)

[Lead-based paint inspection](#), [warning](#), and [pamphlet](#)

[Annual service needs assessment](#)

[FMR/Rent Reasonableness - City](#)

[FMR/Rent Reasonableness - Suburban](#)

[Severity of Service Needs Assessment](#)

[Occupancy fee calculator – City](#)

[Occupancy fee calculator – Suburban](#)

Outreach

E Standards

1. To comply with *Standard E3*, [document homelessness at](#) enrollment.
2. To comply with *Standard E6*, an annual service needs assessment must be completed (if client is in project for 12 months).

G Standards

3. To comply with *Standard G1*, staff works with client to develop individualized housing stabilization plans (IHSPs).
4. To comply with *Standard G2*, client files must contain case notes showing regular engagement.
5. To comply with *Standard G4*, complete HAST assessment if referring to RRH and/or SSNA if referring to USHS.

M Standards

6. To comply with *Standard M3*, [Client Acknowledgement of Data Collection Form](#) signed and uploaded into HMIS.
7. To comply with *Standards M5 and M6*, case notes or HMIS data form as documented in [PR&C Monitoring Guide Exhibit 1](#).

Recommended Documents:

- a. Identification Documents: ID Card, Social Security Card, Birth Certificate

Emergency Shelters

E Standards

1. To comply with *Standard E2*, family shelter staff should meet with clients within 2 days if they re-enter within 90 days and document conditions required to re-enter.
2. To comply with *Standard E2*, service restrictions are entered in HMIS public notes.
3. To comply with *Standard E3*, [document homelessness at](#) enrollment.

G Standards

4. To comply with *Standard G1*, staff works with client to develop individualized housing stabilization plans (IHSPs).
5. To comply with *Standard G2*, client files must contain case notes showing regular engagement.
6. To comply with *Standard G4*, complete HAST assessment if referring to RRH and/or SSNA if referring to USHS.

M Standards

7. To comply with *Standard M3*, [Client Acknowledgement of Data Collection Form](#) signed and uploaded into HMIS .
8. To comply with *Standards M5 and M6*, case notes or HMIS data form as documented [PR&C Monitoring Guide Exhibit 1](#).

Recommended Documents:

- a. Identification Documents: ID Card, Social Security Card, Birth Certificate

Homelessness Prevention

1. If the client receives leasing, rental, or financial assistance, at least one of the following items are required for the client. If the client is only receiving services, at least one of the following items are recommended:
 - a. ID Card,
 - b. Social Security Card,
 - c. Birth Certificate,
 - d. Other government-issued form of identification
2. [ODJFS TANF Eligibility form](#) for clients assisted with ODJFS dollars.

E Standards

3. To comply with *Standard E3*, [document being at risk](#) of homelessness at enrollment.
4. To comply with *Standard E6*, an [annual service needs assessment](#) must be completed.

F Standard

5. To comply with *Standard F4*, clients must sign an acknowledgment of termination and appeal procedures acknowledgement at enrollment and receive written notice of termination at exit (effective April 2022). This also includes housing retention and intervention plans, if needed.

G Standards

6. To comply with *Standard G1*, staff works with client to develop individualized housing stabilization plans (IHSPs).
7. To comply with *Standard G2*, client files must contain case notes showing regular engagement and progress toward obtaining and, where applicable, maintaining permanent housing. Client files should demonstrate assessment of financial assistance needs (amount, type, and duration).

H Standards

8. If a client moves into a new unit, to comply with *Standard H2*, all clients must have formal lease agreements with the required elements prior to receiving rent and/or utility assistance through CSB.
9. If a client moves into a new unit and rent is paid with federal funds to comply with *Standard H5*, the Fair Market Rent (FMR) [City](#) or [Suburban](#) form showing the unit is within FMR and Rent Reasonable.
10. To comply with *Standard H8*, the [VAWA Notice](#) and [Transfer Request Form](#) must be given to and acknowledged by clients at program admission or denial, and at eviction or termination (effective April 2021).

J Standards

11. If financial assistance is given with federal funds,
 - a. To comply with *Standard J2*, a [Habitability form](#) is required.
 - b. To comply with *Standard J4*, [lead-based paint inspection](#), [warning](#), and [pamphlet](#) acknowledgement (if applicable).

M Standards

12. To comply with *Standard M3*, [Client Acknowledgement of Data Collection Form](#) signed and uploaded into HMIS.
13. To comply with *Standard M5*, program eligibility verification for programs targeting special populations.
 - a. For Pregnancy-related programs - Pregnancy confirmation, e.g., a doctor's note.
14. To comply with *Standards M5 and M6*, case notes or HMIS data form as documented [PR&C Monitoring Guide Exhibit 1](#).

Transitional Housing

1. If the client receives leasing, rental, or financial assistance, at least one of the following items are required for the client. If the client is only receiving services, at least one of the following items are recommended:
 - a. ID Card,
 - b. Social Security Card,
 - c. Birth Certificate,
 - d. Other government-issued form of identification
2. HAST assessment within 5 days of entry ([singles](#) or [families](#) form or HMIS assessment or HAST Tool from Shelter provider).

E Standards

3. To comply with *Standard E3*, [document homelessness](#) at enrollment.
4. To comply with *Standard E6*, an [annual service needs assessment](#) must be completed.

F Standard

6. To comply with *Standard F4*, clients must sign an acknowledgment of termination and appeal procedures acknowledgement at enrollment and receive written notice of termination at exit (effective April 2022). This also includes housing retention and intervention plans, if needed.

G Standards

7. To comply with *Standard G1*, staff works with client to develop individualized housing stabilization plans (IHSPs).
8. To comply with *Standard G2*, client files must contain case notes showing regular engagement.
9. To comply with *Standard G4*, program referral confirmation, complete HAST assessment if referring to RRH and/or SSNA if referring to USHS.,

H Standards

10. To comply with *Standard H2*, all housed clients must have a formal lease or occupancy agreement (if master leased) with the required elements, prior to receiving rent and/or utility assistance.
11. To comply with *Standard H5*, the program complies with HUD CoC rent reasonableness and Fair Market Rent (FMR) [City](#) or [Suburban](#) requirements.
12. To comply with *Standard H8*, the [VAWA Notice](#) and [Transfer Request Form](#) must be given to and acknowledged by clients at program admission or denial, and at eviction or termination (effective April 2021).

J Standards

13. To comply with *Standard J2*, an [HQS Inspection](#) is required.
14. To comply with *Standard J4*, [lead-based paint inspection](#), [warning](#), and [pamphlet](#) acknowledgement (if applicable)

M Standards

15. To comply with *Standard M3*, [Client Acknowledgement of Data Collection Form](#) signed and uploaded into HMIS.
16. To comply with *Standards M5 and M6*, case notes or HMIS data form as documented in [PR&C Monitoring Guide Exhibit 1](#)..

Rapid Re-Housing

1. When the client receives leasing, rental, or financial assistance, the following items are required for the client.
 - a. Government-issued identification showing full name, date of birth, and SSN.

E Standards

2. To comply with *Standard E3*, [documentation of homelessness](#) at enrollment
3. To comply with *Standard E6*, an [annual service needs assessment](#) must be completed.

F Standard

4. To comply with *Standard F4*, clients must sign an acknowledgment of termination and appeal procedures acknowledgement at enrollment and receive written notice of termination at exit (effective April 2022). This also includes housing retention and intervention plans, if needed.

G Standards

5. To comply with *Standard G1*, staff works with client to develop individualized housing stabilization plans (IHSPs).
6. To comply with *Standard G2*, client files must contain case notes showing regular engagement and progress toward obtaining and, where applicable, maintaining permanent housing. Client files should demonstrate monthly assessment of financial assistance needs (amount, type, and duration).
7. To comply with *Standard G4*, program referral confirmation, SSNA if referring to USHS.

H Standards

8. To comply with *Standard H2*, all housed clients must have a formal lease or occupancy agreement (if master leased) with the required elements, prior to receiving rent and/or utility assistance.
9. To comply with *Standard H4*, the agency must annually reassess household income using the household's most recent income documentation; CoC households with income must include documentation of tenant rent contribution. Income must be below 30% Area Median Income to remain in the program.
10. To comply with *Standard H5*, the program complies with HUD CoC and ESG rent reasonableness and Fair Market Rent (FMR) [City](#) or [Suburban](#) requirements.
11. To comply with *Standard H8*, the [VAWA Notice](#) and [Transfer Request Form](#) must be given to and acknowledged by clients at program admission or denial, and at eviction or termination (effective April 2021).

J Standards

12. To comply with *Standard J2*, an [HQ5 Inspection](#) (CoC) or [Habitability Inspection](#) (ESG) is required.

13. To comply with *Standard J4*, [lead-based paint inspection](#), [warning](#), and [pamphlet](#) acknowledgement (if applicable)

M Standards

14. To comply with *Standard M3*, [Client Acknowledgement of Data Collection Form](#) signed and uploaded into HMIS.
15. To comply with *Standard M5*, government-issued identification showing full name, date of birth, and SSN.
16. To comply with *Standard M5*, the agency must assess household income initially and at least annually, using the household's most recent income documentation.
 - a. Third party documentation such as pay stubs, earnings statements, W-2 forms, employer letters, documentation from the Social Security Administration or other public assistance agency
 - or-
 - b. Signed self-certification of zero income
17. To comply with *Standard M5 and M6*, case notes documenting:
 - a. Program Enrollment Date
 - b. Housing Move-in Date
 - c. Prior Residence
 - d. Program Exit Date
 - e. Exit Destination
18. To comply with *Standard M5*, program eligibility verification for programs targeting special populations
 - a. For DV programs, signed HMIS data form with DV data fields, or letter from a Victim Service Provider (VSP).
 - b. For Pregnancy-related programs - Pregnancy confirmation, e.g., a doctor's note.

Permanent Supportive Housing

1. When the client receives leasing, rental, or financial assistance, the following items are required for the client.
 - a. Government-issued identification showing full name, date of birth, and SSN.
2. The SSNA is required to be in the client file to prove eligibility.

E Standards

3. To comply with *Standard E3*, [document homelessness](#) at enrollment.
4. To comply with *Standard E6*, an [annual service needs assessment](#) must be completed.

F Standard

5. To comply with *Standard F4*, clients must sign an acknowledgment of termination and appeal procedures acknowledgement at enrollment and receive written notice of termination at exit (effective April 2022). This also includes housing retention and intervention plans, if needed.

G Standards

6. To comply with *Standard G1*, staff works with client to develop individualized housing stabilization plans (IHSPs).
7. To comply with *Standard G2*, client files must contain case notes showing regular monthly engagement.

H Standards

8. To comply with *Standard H2*, all housed clients must have a formal lease or occupancy agreement (if master leased), with the required elements prior to receiving rent and/or utility assistance.
9. To comply with *Standard H3*, the agency must annually reassess household income using the household's most recent income documentation; CoC households with income must include documentation of tenant rent contribution
10. To comply with *Standard H5*, the program complies with HUD CoC rent reasonableness and Fair Market Rent (FMR) [City](#) or [Suburban](#) requirements.
11. To comply with *Standard H8*, the [VAWA Notice](#) and [Transfer Request Form](#) must be given to and acknowledged by clients at program admission or denial, and at eviction or termination (effective April 2021).

J Standards

12. To comply with *Standard J2*, an [HQS Inspection](#) is required.
13. To comply with *Standard J4*, [lead-based paint inspection](#), [warning](#), and [pamphlet](#) acknowledgement (if applicable)

M Standards

14. To comply with *Standard M3*, [Client Acknowledgement of Data Collection Form](#) signed and uploaded into HMIS.

15. To comply with *Standard M5*, government-issued identification showing full name, date of birth, and SSN.
16. To comply with *Standard M5*, the agency must assess household income initially and at least annually, using the household's most recent income documentation.
 - c. Third party documentation such as pay stubs, earnings statements, W-2 forms, employer letters, documentation from the Social Security Administration or other public assistance agency
- or-
- d. Signed self-certification of zero income
17. To comply with *Standard M5 and M6*, case notes documenting:
 - f. Program Enrollment Date
 - g. Housing Move-in Date
 - h. Prior Residence
 - i. Program Exit Date
 - j. Exit Destination
18. To comply with *Standard M5*, Documentation/Certification of Disability for Head of Household signed by a licensed professional.
 - a. If this is not available, Social Security Administration verification or copies of a disability check are acceptable (except Survivor's Benefits or Social Security Retirement).