Subrecipient: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Agreement Number: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Preparer: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

Subrecipient’s Representative: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**PROGRAM PARTICIPANT FILE REVIEW**

Yes No N/A Notes

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| A. | Does the subrecipient/second-tier subrecipient(s) enter client data into **HMIS or a comparable database**? Identify which is used. 1. Is the subrecipient/second-tier  subrecipient(s) a **victim services**  **provider**? 2. Is the subrecipient/second-tier  subrecipient(s) a **legal services**  **organization**? |  |  |  |  |
| B. | Describe the timeline/process for entering client data into HMIS or a comparable database. |  |  |  |  |
| C. | Does a review of the selected program participants’ files reveal adequate documentation that:  |  |  |  |  |
|  | * the individuals or families had at least one initial consultation with a case manager or other authorized representative who determined the appropriate type of assistance to meet their needs prior to being accepted into the program?
 |  |  |  |  |
|  | * that all individuals or families served with homelessness prevention funds were below 30 percent of the Area Median Income (AMI) upon entry into the program?
 |  |  |  |  |
|  | * that the individuals or families were either homeless ***or*** at risk of losing their housing and were without financial resources and support networks needed to obtain immediate housing or remain in its existing housing?
 |  |  |  |  |
|  | * the participants are not also receiving another federal, state or local housing subsidy for the same ESG cost type and period of time?
 |  |  |  |  |
| D. | Is eligibility reassessed: * at least every three months for homelessness prevention participants, or
* annually for rapid re-housing participants?
 |  |  |  |  |
| E. | Is Rent Reasonableness determined for all rental assistance provided? |  |  |  |  |
| F. | Does rental assistance meet Fair Market Rent for the area? |  |  |  |  |
| G. | Is participant financial assistance limited to a maximum of 24 months? |  |  |  |  |
| H. | Is payment for rental and/or utility arrears limited to 6 months? |  |  |  |  |
| I. | Is payment of arrears included in the 24 months of assistance? |  |  |  |  |
| J. | Have all properties supported with rental assistance complied with habitability standards prior to move in? |  |  |  |  |
| K. | For any financial assistance provided to housing built before 1978 that houses a pregnant woman or a family with a child under the age of 6, has a Lead-based Paint visual inspection been successfully conducted prior to assistance being given? |  |  |  |  |
| L. | For all ESG-rental assisted units constructed before 1978 where a pregnant woman or a family with a child under the age of six years was identified and where lead-based paint was identified, were the proper regulations followed for abatement? |  |  |  |  |
| M. | Have any participants been charged a fee to receive ESG services?* If so, was the amount charged less than or equal to the amount stated in the agency’s written policy?
 |  |  |  |  |
| N. | Do the program participants’ files document the delivery of ESG-eligible financial assistance and supportive services? |  |  |  |  |
| O. | **For program participants receiving motel or hotel vouchers**, do their files document the lack of appropriate shelter beds available to house the homeless individual or family?  |  |  |  |  |
| P. | **For participants receiving moving assistance**, is there evidence that the moving costs were reasonable and, if storage fees were paid, that they were limited to no more than three months? |  |  |  |  |
| Q. | **For participants receiving legal assistance**, is there evidence that the legal services were only used to help people stay in their homes and did not involve any mortgage-related issues? |  |  |  |  |
| R. | Is there a process in place to ensure that payments for financial assistance were made only to third parties? |  |  |  |  |
| S. | If program participantshave been terminated from receiving housing assistance, does a review of their files reveal that the minimum due process requirements for termination were followed? |  |  |  |  |