**Participant Chart Monitoring Preparation Guidance**

*Updated 11/11/19*

**Charts for participants served in a HUD CoC funded program must include:**

1. **Documentation of Eligibility** 
   1. Documentation of Homelessness - Documentation must demonstrate homelessness at project entry (i.e., the date on which the applicant accepts an available spot in the project – project entry may precede the date housed)
   2. Documentation of Disability - required for Permanent Supportive Housing (PSH);

Documentation of DMHAS Disability Eligibility (if applicable): must have serious mental illness, chronic problems with alcohol &/or drugs, or AIDS and/or related diseases.

Homeless Verification and Disability Verification forms can be found here: [http://www.ctbos.org/resources](http://www.ctbos.org/resources/)/

Additional forms and guidance available at:

<http://www.ctbos.org/wp-content/uploads/2017/04/CT-CoC-Eligibilility-Verification-Resources-Compiled-2017.10.30.pdf>

YHDP Homeless Verification form can be found here: <http://www.ctbos.org/youth>

* 1. Documentation of YHDP Eligibility (if applicable): at least one member of the household must be 18 or older; no member of the household can be older than 24 at project entry.
  2. Documentation of Income Eligibility: RRH - Gross annual income below 50% AMI at the time of annual review; TH – income below 30% AMI at project entry

1. **Current Lease or Occupancy Agreement** – Retention of a copy of the signed lease or occupancy agreement is required for PSH, Transitional Housing (TH), and Rapid Re-housing (RRH). Leases/agreements must be consistent with Housing First and include an addendum outlining VAWA protections. Agreement/lease should provide formal due process rights. For PSH, leases must be for an initial one-year term renewable for a minimum term of 1 month and terminable only for cause. For rental assistance projects, leases must be between the program participant and the landowner or sublessor. For leasing projects, leases must be between the recipient or subrecipient of CoC funds and the landowner.
2. **Owner Assurances and HAP Contracts\*** - Required for DMHAS CoC RA projects. Forms are available at [www.ctbos/resources](http://www.ctbos/resources)
3. **Rental Assistance Certificate** (DMHAS CoC RA only) - Form is available at [www.ctbos.org/resources](http://www.ctbos.org/resources). If the certificate is extended for more than one 60-day period, maintain copy of the approval for the additional extension(s).
4. **Request for Lease Approval** (DMHAS CoC RA only) – Form is available at [www.ctbos.org/resources](http://www.ctbos.org/resources).
5. **Income** **and Rent/Occupancy Charge Information**– If grantee imposes occupancy charges:
   1. Income for all household members must be calculated at least annually and updated upon change in accordance with 24 CFR 5.609 and 5.611.
   2. Supporting documentation of income (e.g. pay stubs or copy of disability check) and allowable deducted expenses (e.g., unreimbursed medical, child care expenses) must be maintained in file.
   3. Certification of no income. Each adult household member reporting no income must complete a certification. Sample form is available at: [www.ctbos.org/resources](http://www.ctbos.org/resources)
   4. PSH/TH - Occupancy/rent charged may not be greater than 30% of family’s adjusted income or 10% of gross income.
   5. RRH – Rent charged must be in accordance with applicable CoC written standards (available at [www.ctbos.org/policies](http://www.ctbos.org/policies))
   6. Notification – maintain a copy of the notice to participant specifying contract rent, participant monthly contribution, and requirement to report changes.

*Recommended that PSH/TH projects use DMHAS rent calculation spreadsheet, which can be found here:* [*http://www.ctbos.org/wp-admin/post.php?post=4698&action=edit#.*](http://www.ctbos.org/wp-admin/post.php?post=4698&action=edit%23.)

*YHDP RRH projects are required to use the YHDP RRH rent calculation tool available at* [*www.*ctbos.org/youth](http://www.ctbos.org/youth)

1. **Housing Inspections** - Housing Quality Standards required for PSH, TH, and RRH assisted through CoC leasing or rental assistance. Units must be inspected prior to occupancy and re-inspected at least annually. Form can be found here: <http://portal.hud.gov/hudportal/documents/huddoc?id=52580.pdf>
2. **Health and Safety Checklist\*** - DMHAS CoC RA units must be inspected annually approximately 6 months following the HQS inspection. Form is available at [www.ctbos.org/resources](http://www.ctbos.org/resources)
3. **Rent Reasonableness Determination -** Required for PSH, TH, and RRH assisted through CoC leasing or rental assistance. Must include 3 comparable units. Complete prior to initial rental and as part of annual recertification.

Sample “Rent Reasonableness Checklist and Certification” form available at: <https://www.hudexchange.info/resources/documents/RentReasonableChecklist.pdf>

1. **Lead based paint-** Must conduct a visual assessment of all units receiving financial assistance if the unit was constructed prior to 1978 and if there will be a child under 6 years of age or a pregnant woman residing in the unit. Participant files must document completion of the assessment in HQS and receipt of the Lead Hazard Information pamphlet, which can be found at: <https://www.hud.gov/program_offices/healthy_homes/enforcement/disclosure>. For staff completing the visual assessment maintain documentation of completion of the related HUD web-based training available at:<https://apps.hud.gov/offices/lead/training/visualassessment/h00101.htm>
2. **Recertification Notice\*** - Maintain a copy of the notice of annual recertification sent to the participant. Required for DMHAS CoC RA projects.
3. **On-going assessment of supportive services needs -** Evidence that the grantee conducted on-going assessments of participant’s supportive service needs including services needed, their availability, and the coordination of services to ensure long-term housing stability at least annually. (CT BOS recommends and DMHAS requires a needs assessment at least every 6 months). Sample assessment available at: <https://www.csh.org/resources/intakeassessment-form-sample/>

Brief assessment for use by housing coordination staff when no case management provider is assigned is available at [www.ctbos.org/resources](http://www.ctbos.org/resources)

1. **Home Visits\*** – Documentation that staff meets with participants in their apartments at a frequency that is responsive to participant needs and at least once within the first 30 days of tenancy and every six months thereafter (required for DMHAS CoC RA projects).
2. **Service Plans (PSH & TH)\*** - Required for DMHAS CoC RA Projects: Documentation that service plans are completed within 60 days of project entry, are updated at least every 6 months and are signed by the direct service staff person, the participant and a supervisor; plans include specific and measurable action steps and indicate who is responsible for each action and when actions will occur; goals are individualized and person-centered. Case notes document that assistance with advancing goals/objectives is regularly provided to participants. Service Plans should be consistent with Housing First. Where no service provider is designated the housing provider should attempt to obtain any service plan developed by the primary case manager. Supportive Housing Case Management Tools (including service planning forms) available at:

<https://www.csh.org/qualitytoolkit/>.

1. **Housing Stability Plans (RRH) -**Must include goals pertaining to moving into and maintaining housing, roles/expectations of case manager/participant, timelines of each step, monthly progress review.
2. **Provisions of Services -** Evidence (e.g. case notes) thatthe grantee made supportive services available to meet the needs of program participants, making regular attempts, using a variety of contact methods\* to engage clients. Must include evidence of provision of case management services at least monthly for RRH. For other types of projects, frequency of services should be commensurate with participant needs and, typically, not be less frequent than every 2 weeks. Case notes and other documentation should be consistent with Housing First. Required for DMHAS CoC RA projects.
3. **Housing Provider Service Obligations (DMHAS PSH Only) –** Applies to projects with no designated service provider. Housing provider must track which participants are engaged with a case manager, maintain current contact information for the primary case manager, coordinate with the case manager when issues that threaten housing stability occur, identify which participants are not already engaged with a primary case manager, and make assertive attempts at least every 6 months to connect all participants not already enegaged to a case manager.
4. **Releases -** Information sharing evidenced in charts is authorized by a current release of information signed by the participant. Unless the chart documents that participant has declined authorization to enter information into HMIS, all charts should include a current HMIS release.
5. **13. Participant/Applicant Bill of Rights-** All participants/applicants should sign the Bill of Rights to indicate that they received a copy of the form and that someone helped them to review. Form available at:
6. <http://www.ctbos.org/policies>
7. **VAWA –** Retain evidence that you provided the Notice of Occupancy Rights (must be provided when individuals are applying for PH and TH) and Incident Certification Form to each adult tenant and applicant. Both forms must also be provided at each of the following times: a) when a household is denied PSH, RRH or TH; b) when a program participant is admitted to PSH, RRH or TH; c) when a program participant receives notification of eviction; and d) when a program participant is notified of termination of assistance. Retain records for all emergency transfer requests and outcomes. Forms HUD 5380 and HUD 5381 available at: <https://www.hud.gov/program_offices/administration/hudclips/forms/hud5a>
8. **Safety Planning\*** Required for DV RRH. Project must provide survivors of DV/trafficking with safety planning services.

1. **Moving-on from PSH\*** - Evidence that project assesses participants who have stabilized in housing for interest in and provides assistance with moving-on.
2. **Termination of Assistance** –Applies to files of participants who have been terminated/discharged from the CoC program. Must demonstrate participant was notified of formal due process and provided a written copy of rules, written notice of termination with clear statement of reasons for terminating, opportunity to appeal decision, and right to receive written notification of final decision. This notification should be provided for all non-deceased participants exiting the project, regardless of whether the exit is voluntary or involuntary. Send the notification to the last known address, if current address is unknown. If the participant is at-risk of a return to homelessness, the project must notify the CAN so that the CAN may convene a case conference and determine any additional interventions that may be offered to prevent homelessness. DMHAS CoC RA projects must also document that prior to commencing a subsidy termination, the participant was notified in writing that subsidy is in jeopardy.
3. **Application Records -** Retain all application records, copy of written referral acceptance letter to the applicant and CAN or copy of written notice to applicant specifying reason provider or applicant declined with appeal instructions. Document outreach to applicants who miss their intake appointment.
4. **Reasonable accommodation requests** - Retain all related records
5. **Grievances/Appeals** - Retain all related records