

## **ESHP Document Checklist**

### **Initial Documentation Acquired from IHCD**

- 1.) Rent Reasonableness Certification
- 2.) Income verification (zero income affidavit, pay stubs, bank statements, W-2, child support, unemployment)
- 3.) At-risk documentation (notice to vacate, eviction notice, documentation stating that the client will be evicted, documentation stating that the client is past rent, and proceedings will initiate if they do not pay on time, etc.)
- 4.) Lease Agreement (Verified that the lease is in good standing)
- 5.) Landlord Documents (Copy of Lease, ACH Transfer Form, W-9)

**IHCD Does not require the landlords to provide this information during the initial intake process; however, if provided the information is secured in the submittable platform.**

### **Documentation acquired by HUB once the IHCD review is complete:**

- 1.) Identification: This is proof that the client is who they say they are. If they do not have an I.D., self-certification will suffice. Double check with landlord to make sure that client is who they say they are. (Does not have to be an official valid I.D.)
- 2.) Client Track Intake Form / Client Track Exit Form (Can be found in HMIS)
- 3.) HMIS Notice of Privacy Practices – Consent / Release of Information (Can be found in HMIS)
- 4.) Arizona Matrix / Housing Plan – These are part of the workflow of HMIS client data entry. (Can be found in HMIS).
- 5.) All correspondence with the client (emails, calls, in-person notes, etc.) This can be found in the submittable files or messages.
- 6.) At-risk of homelessness form. ESG Requirement.
- 7.) Termination and Appeal Policy and Procedure (Should be signed by the client) This a requirement of IHCD. Subrecipients should have a policy or procedure for termination of assistance and appeals.

### **Documents that need to be signed by Tenant / Landlord / Subrecipient**

- 1.) Rental Assistance Payment Contract between subrecipient and tenant
- 2.) Rental Assistance Payment Contract between tenant and landlord
- 3.) Request for Unit Approval
- 4.) Lease Addendum

### **HUB Housing Quality Standard Documents – Performed by HUBS**

- 1.) Habitability Standards Inspection – Can be done virtually; HUBS can fill out the documents accordingly.
- 2.) Lead Based Paint Disclosure Form – Can be done virtually; requires signatures.
- 3.) Agreement for related to Lead-Based ongoing maintenance activities Paint - Only pertains to households with children
- 4.) LPB Exemption Form – Can be filled out if the landlord is exempt from LPB Assessment.

### **Payment Process**

- 1.) W-9 (Acquired at initial intake; however, if missing, please acquire from landlord for processing. Is used as owner verification form)
- 2.) ACH Transfer

### **Claims Process – HUBS must submit claims for reimbursement of funds.**

- 1.) Claims Process for ESG-CV HUBS
- 2.) Claim Reimbursement Form – Excel Workbook.

**Reminder:** The Award Number for ESG Cares Act Homelessness Prevention is ESHP-CV-020-####.

## **Explanation of Documents**

### **Homelessness Prevention Documents:**

- 1.) At risk of Homelessness Form – This form is the participant eligibility worksheet (At-risk homeless documentation form-HP and RRH) This form is to verify that the client is at-risk of homelessness. Requires supporting documentation.
- 2.) Termination and Appeal Policy and Procedure – This is not a form, but rather a requirement of IHCD. All subrecipients should have policies and procedures focused on termination of assistance and the appeals process.

### **Domestic Violence**

- 1.) HUD 5380 Notice of Occupancy Rights – This form should be signed if they are a survivor of domestic violence. The form validates that the tenant is protected under VAWA.
- 2.) HUD 5382 Certification of DV-SA – This is a certificate that tenants complete if they are seeking VAWA protections from a housing provider. Tenants seeking protections can fill out these forms and provide any source of additional documentation. This form assists tenants in acquiring protections from evictions or relocations based on acts of domestic violence.
- 3.) HUD 5383 Emergency Transfer Request – This document is to be used by individuals fleeing domestic violence and seeking an emergency transfer.
- 4.) HUD 5381 Model Transfer Plan – The plan identifies tenants who are eligible for an emergency transfer, the documentation needed to request an emergency transfer, confidentiality protections, how an emergency transfer may occur, and guidance to tenants on safety and security.

### **HMIS Documents**

- 1.) HMIS Notice of Privacy Practices – Also known as the consent form. This is a requirement to enroll clients into HMIS. Explains why information is gathered and how information is stored in HMIS.
- 2.) HMIS Project Intake Form – This is the intake form for each client enrolled in ESG. Although the form says emergency shelter in the corner, the form is applicable to all ESG intake in HMIS.
- 3.) HMIS Project Discharge Form – The HMIS Project Discharge Form is a form that is used to exit a client from a project in HMIS.
- 4.) Arizona Matrix- This is the Assessment tool used for participants in HMIS programs and services. Embedded within HMIS. Will be completed once client is going through enrollment within HMIS.
- 5.) Housing Plan – Embedded within HMIS. Will be completed once client is going through enrollment within HMIS.

### **Claims Documents**

- 1.) Claims Process for ESG-CV HUBS – This is the walkthrough for claims reimbursement. The document provides a specific walkthrough of how to file claims for this project. Although the claims process remains similar, there are small differences in this new process and procedure.
- 2.) ESG-CV HUB Homeless Prevention Reimbursement Request Form – This is the excel workbook outlining the different categories to claim for HUB Homelessness Prevention. This is a new form and should be utilized for the HUB Homelessness Prevention program.

### **Financial Documents**

- 1.) ACH Transfer Form – This is the form to use if the landlord would prefer to get funds through direct deposit.
- 2.) W-9 – Request for Taxpayer Identification Number and Certification. The W-9 is a requirement so that the landlord can be paid.

### **Rental Assistance Payment Contract / Payment Documents**

- 1.) Rental Assistance Payment Contract Between Subrecipient and Tenant. This is the Agreement that determines that contract between the sub and tenant receiving rental assistance. This should be done first before the next parts.
- 2.) Request for Unit Approval (Scattered Sites) – This form is to be completed by the landlord and the client. Fill the form to its completion and return to subrecipient.

- 3.) Rental Assistance Payment Contract Between Landlord & Subrecipient – This form is the Agreement contract between the subrecipient and the landlord. This form needs to be completed after the request for unit approval and the Rental Assistance Payment Contract Between subrecipient and tenant.
- 4.) 4.) Lease Addendum – This document should be completed by the landlord and attached to the Tenant’s lease. The Lease Addendum should be finished last.

### **Inspection Documents**

- 1.) Indiana Habitability Standards – The Indiana Habitability Standards document is a required document for ESG Subrecipients. All housing used for ESG RR/HP Programs must provide safe and sanitary housing that follows the habitability standards outlined below and any state or local requirements. The inspection can be done virtually.

### **Lead Based Paint Documents**

- 1.) Lead Based Paint Booklet – “Protect your family from Lead Based in your Home” This is a walkthrough of the different types of issues associated with lead-based paint. This is for HUB knowledge and use.
- 2.) Lead Based Paint Compliance Checklist – A complete checklist provided by HUD of the required documentation for Lead Based Paint protections.
- 3.) HUD Lead Based Paint Disclosure Form – This is the form that requires signature. This document outlines the presence of lead-based paint or hazards within the unit. Certifications that the information is correct regarding the unit.
- 4.) Agreement for related to Lead-Based ongoing maintenance activities Paint. This Agreement must be signed for any household that has a child under the age of 6. This Agreement protects the tenant from harmful lead-based paint health risks.
- 5.) LPB Exemption Form – The LPB Exemption Form is a HUD document that establishes if a property will be exempt from the Lead Disclosure Rule and/or Lead Safe Housing Rule.

**Reminder:** This is for Homelessness Prevention only. IHCD will provide additional breakdown of forms and information for ESG CARES Rapid Rehousing, Shelter Operations, and Street Outreach Agreements.