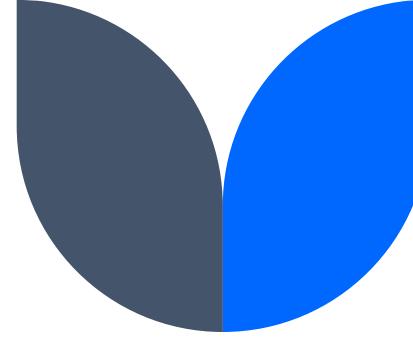
Participant Files for Emergency Solutions Grant & North Dakota Homeless Grant





Goal

For all subrecipients with ESG and NDHG grant funding to have documentation to support their grant component activities for audits and record keeping.



Establishing Project Files

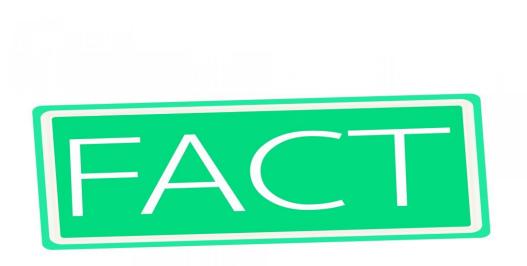
Availability

The filing system subrecipients establish should be easy to use and provide a historic account of the subrecipient's activities for examination and review by the General Accounting Office, NDHFA, auditors, and subrecipient staff .

Fact or Fiction?

Are ESG/NDHG records subject to the Freedom of Information Act and relevant state laws regarding public availability?





ESG/NDHG records are subject to the Freedom of Information Act and relevant state laws regarding public availability!

Timing and Location

The file system should be established on a program year basis. This may result in duplication of files but will connect documentation to the correct fiscal year and grant.

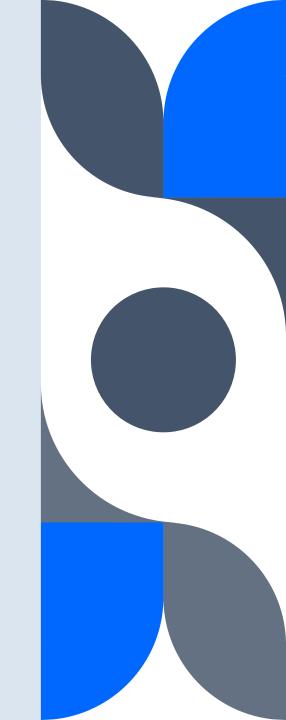
If possible, files should be maintained in a central location.



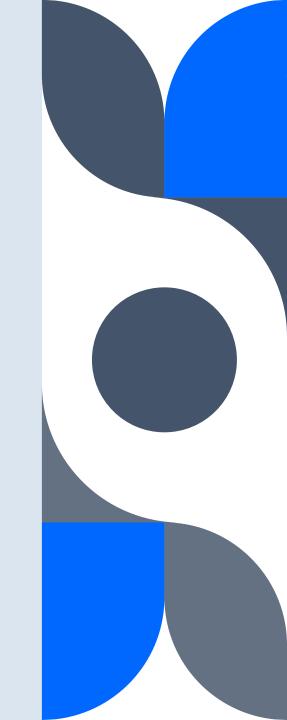


1. Staff Evaluation of Eligibility SFN 62383

This is a new form. This document acts as a file summary for each participant. It indicates, based on staff eligibility determination, what assistance the program participant received.



2. Homeless Certification SFN 59247 Or At Risk of Homelessness Certification SFN 59248 Along with supporting documents



3. Release of Information

Form must be signed by each

household member 18 or older

with a copy in the file.



4. Intake and Assessment Form

The agency will conduct a comprehensive

housing assessment with the household.





5. Income Documentation (when required)

Income Eligibility Worksheet SFN 62393 (Summary) required in all files plus:

- A. Supporting Documentation (Income Verification SFN 59849, paystubs, SSI award letters.
- **B. Self-Certification SFN 60319**

*All sources of income (for all adult members) must be verified and documented at intake and when recertification is required.



6. Eligibility for Assistance

Households receiving Rapid Rehousing (RRH) ESG assistance do not have to income qualify at program entrance but must have an income below 30% Area Median Income for the geographic area after 12 months of assistance at annual recertification.

For NDHG household income may not exceed 50% AMI.

Homelessness Prevention (HP) Household receiving ESG assistance must have an income level below 30% of AMI for the geographic area at entry and must meet the definition of "at risk of homelessness." For NDHG the income level must not exceed 50% AMI. The household must demonstrate that they do not have sufficient resources or support networks to prevent them from losing their housing and moving into an emergency shelter or other place not meant for human habitation.

7. Self-Certification SFN 60319

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

8. Housing Plan (Case Notes)

A Housing Plan must be completed for all individuals who receive a housing assessment and are determined eligible for services.





9. Habitability Standards Inspection Form SFN 61266

All units must meet Habitability Standards before financial assistance can be provided such as rental assistance, security deposits, rental arrearages or utility payment/deposits.

NSPIRE will soon replace Housing Quality Standards and habitability standards. More information will be forthcoming when HUD has finalized NSPIRE.

10. Lead Based Paint Worksheet SFN 62378

Required for all participant files where rapid rehousing or homeless prevention is provided. It may lead you to an exemption or a visual assessment might be required.





11. Lead Based Paint Disclosure

https://www.hud.gov/sites/documents/DOC_12345.PDF



The Lead Based Paint Disclosure is needed if the housing

was built before 1978. Before renting pre-1978

housing, lessor must disclose the presence of known

lead-based paint and/or lead based paint hazards.

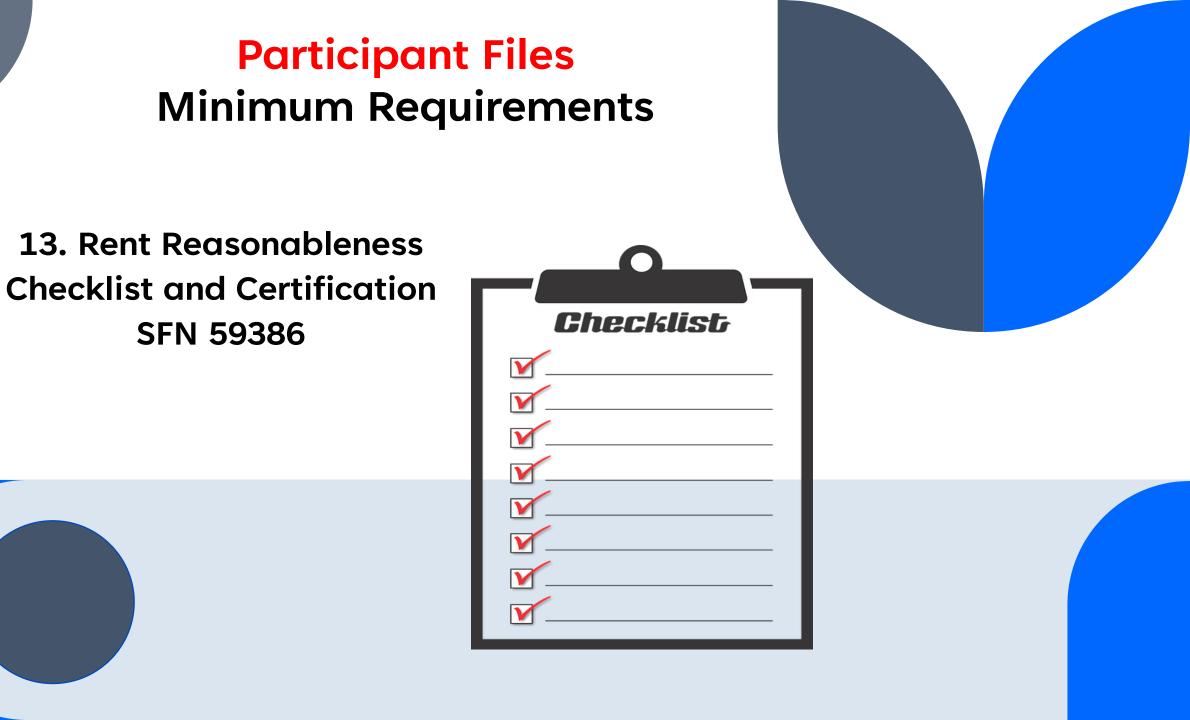


12. Rental Assistance Agreement SFN 62097

The purpose of this agreement is to assist the Program Participant (Tenant/Leaseholder) to lease, or maintain a lease, in a rental unit that meets the conditions of the ESG and NDHG grants.

(This agreement cannot be used in place of a lease.)







14. Lease

A lease is required for households receiving financial assistance such as rental assistance, security deposits , rental arrearages and utility payments/deposits.



15. Service Costs

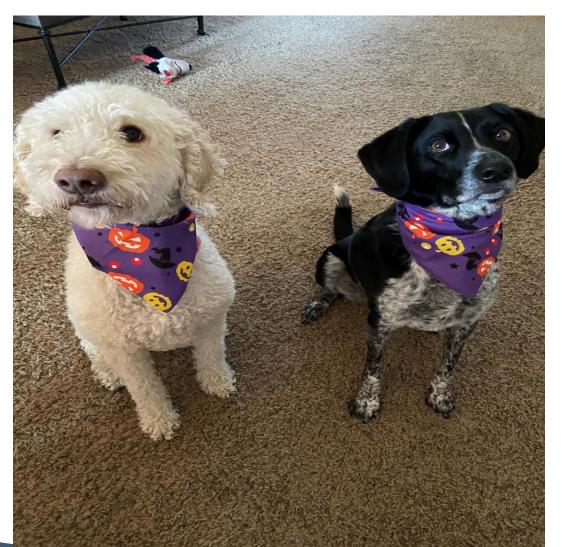
If clients are terminated or declared ineligible, documentation used to make the determinations and the process of termination are required to be retained.

Resources Used

Administrative Manual

Emergency Solutions Grant | North Dakota Homeless Grant https://www.ndhfa.org/wp-content/uploads/2023/08/ESGNDHGAdminManual8.23.pdf HUD

https://www.hud.gov/sites/documents/DOC_12345.PDF



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NORTH DAKOTA housing finance agency

For all the great work you do!