**Participant Chart Monitoring Preparation Guidance**

*Updated 10/26/17*

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

1. **Documentation of Eligibility** 
   1. Documentation of Homelessness (See Sample Homelessness Verification Form)
   2. Documentation of Disability - required for Permanent Supportive Housing (PSH) (See Sample Disability Verification Form)

Sample forms and other guidance available at:

<http://www.csh.org/csh-solutions/community-work/housing-development-and-operation/2578-2/>

1. **Current Lease or Occupancy Agreement** - Required for PSH, Transitional Housing (TH), and Rapid Re-housing (RRH). Leases must be consistent with Housing First and include descriptions of VAWA protections.
2. **Income** **and Rent/Occupancy Charge Information**– If grantee imposes occupancy charges:
   1. Income 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) must be maintained in file.
   3. Occupancy/rent charged may not be greater than 30% of family’s adjusted income or 10% of gross income.

*Use DMHAS excel tool or SEE HUD CPD Income Calculator and select HOPWA:* <https://www.hudexchange.info/resource/2079/cpd-income-eligibility-calculator/>

1. **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.

HQS inspection form available at:<http://portal.hud.gov/hudportal/documents/huddoc?id=52580.pdf>

1. **Rent Reasonableness -** Required for PSH, TH, and RRH assisted through CoC leasing or rental assistance. Must include 3 comparable units.

Sample “Rent Reasonableness Checklist and Certification” form available at: [www.hud.gov/offices/cpd/affordablehousing/library/forms/rentreasonablechecklist.doc](http://www.hud.gov/offices/cpd/affordablehousing/library/forms/rentreasonablechecklist.doc)

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 receipt of the Lead Hazard Information pamphlet.

*For more information see:* [*http://www.hud.gov/offices/lead/training/visualassessment/h00100.cfm*](http://www.hud.gov/offices/lead/training/visualassessment/h00100.cfm)

1. **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 copies 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. Document notification of CAN to prevent unstable placements/returns to homelessness.
2. **On-going assessment of supportive services needs -**  Evidence that the grantee conducted an assessment of each participant’s service needs at least annually.
3. **Provisions of Services -** Evidence thatthe grantee made supportive services available to meet the needs of program participants (e.g. case notes). Must include evidence of provision of case management services at least monthly for RRH. Service plans and case notes should be consistent with Housing First. Corporation for Supportive Housing Case Management Tools (including sample assessment and service planning forms) available at:

<http://www.csh.org/csh-solutions/community-work/housing-development-and-operation/assuring-quality-in-connecticut>

1. **Releases -** Information sharing evidenced in charts is authorized by a current release of information signed by the participant.
2. **Participant/Applicant Bill of Rights-** All participants/applicants should sign the form to indicate that they received a copy of their rights and that someone helped them to review. Form available at:

<http://www.csh.org/csh-solutions/community-work/housing-development-and-operation/2578-2/>

1. **Application Records -** Retain all application records, including outcome and reason for denial
2. **VAWA –** Retain evidence that you provided the Notice of Occupancy Rights and Incident Certification Form to each adult tenant and applicant. Retain records for all emergency transfer requests and outcomes. Forms available at:

<https://www.hud.gov/program_offices/administration/hudclips/forms/hud5a>