Supportive Housing Program (SHP) Self-Monitoring Tools

U.S. Department of Housing and Urban Development
Office of Community Planning and Development

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Introduction

The purpose of the ***Supportive Housing Program (SHP) Self-Monitoring Tools*** is to provide SHP project sponsors and grantees with "user-friendly" forms to enable staff to assess their project operations against the standards set by HUD rules and regulations. To the extent possible, these forms correspond to the topics addressed in the ***SHP Desk Guide*** and will be designed for use in conjunction with the Guide.

In using the ***SHP Desk Guide*** and the ***SHP Tools*** together, local project staff can evaluate their projects based on both the general guidelines for Supportive Housing Programs and the particular rules established by the project. In this way, the ***SHP Tools*** provide a set of standard instruments to guide a process of regular project monitoring and supplement the information presented in the ***SHP Desk Guide***.

The areas to be addressed by individual assessment forms or worksheets and the corresponding sections from the SHP Desk Guide (where applicable) are:

- Measuring Project Progress (Section A of Desk Guide);
- Determining and Documenting Participant Eligibility (Section B);
- Tracking Eligible Activities and Expenses (Section D);
- Tracking Match Requirements (Section D);
- Tracking Important Contract Dates and Implementation Milestones (Section F);
- Calculating Resident Rent (Section K);
- Record Keeping and Financial Management; and
- Conducting a Housing Assessment.

For each component of self-monitoring, we offer a rationale for using the tools presented, as well as specific guidelines for completing the various assessment forms and worksheets. We hope that these tools adequately equip SHP project staff with the necessary means to assess project operations in an efficient and effective way.

Presented below are brief descriptions of each of the SHP Tools.

Tool 1

Measuring Project Progress: The Supportive Housing Program has three basic goals for each local project it funds. This assessment tool allows project staff to review the project goals and performance measures as specified in the technical submission and use these as the baseline from which to measure overall project progress. The worksheet asks projects to compile the information from original technical submissions and to compare these projected goals with current operational realities. In order to assess individual client progress towards these project goals, local project staff should develop individual service plans (ISPs) during a standard intake process. The ISP records the clients' individual goals for participation in the SHP project and provides a clear time frame for achievement of these personal goals. Periodic re-assessments document individual client progress against these goals so as to build a case file for each resident. The assessment worksheet questions staff about project practice in this area and draws on file documentation to assess project achievements regarding services and measurable outcomes. (Corresponds to Section A of the SHP Desk Guide)

Tool 2

Determining and Documenting Participant Eligibility: SHP projects need to serve the homeless population as defined by HUD, as well as any sub-population of homeless that may have been identified in the initial grant application. The worksheet provided here reiterates the definitions provided in the SHP Desk Guide and offers projects a checklist to verify that intake forms appropriately address eligibility definitions and to confirm that project files include proper documentation regarding homeless status. (Corresponds to Section B of the SHP Desk Guide)

Tool 3

Tracking Eligible Activities and Expenses: The SHP Desk Guide discusses the rules and regulations that govern how funds can be expended under seven eligible activities for SHP grants. These activities include acquisition and rehabilitation, new construction, leasing, supportive services, operating costs, and project administrative costs. The worksheet provided refers project staff to the technical submission so they may confirm what activities, and the total amount of funding per activity, were approved in the grant. This information can be compared with actual activities and expenditures. (Corresponds to Section D of the SHP Desk Guide)

Tool 4

Tracking Match Requirements: HUD regulations governing the SHP match requirements for each of the eligible activity areas appear in the SHP Desk Guide. The match requirement worksheet asks project staff to compare the matching funds committed in their technical submission to actual match amounts received. This check determines if the relevant match requirements have been met on a yearly basis. (Corresponds to Section D of the SHP Desk Guide)

Tool 5

Tracking Important Contract Dates and Implementation Milestones: Grantees must comply with certain requirements at the times specified by HUD during the life of the contract. Section F of the SHP Desk Guide specifies the dates grantees must be aware of, along with the necessary activities that are to occur at specified times. Grantees must operate within the time frames specified in order to demonstrate program goals are being met, funds are expended accordingly, and in a timely fashion. The form designed for use here allows for local projects to identify important dates, and periodically monitor progress in moving towards meeting milestones. (Corresponds to Section F of the SHP Desk Guide)

Tool 6

Calculating Resident Rent: SHP projects are allowed to charge rent to participants provided HUD guidelines in calculating that rent are followed. The SHP Desk Guide provides the guidelines and a version of the worksheet that can be used for calculating participant rent. A modified version of the rent calculation form is provided here. (Corresponds to Section K of the SHP Desk Guide)

Tool 7

Record Keeping and Financial Management: The financial management section of the self-monitoring tool addresses the following key areas: internal controls, budget controls, cash management, accounting records and documentation, procurement, property controls, and audits. Worksheets take project staff through a series of user-friendly questions regarding the project's financial systems. Where applicable, references to HUD regulations and guidelines are provided.

Tool 8

Conducting a Housing Assessment: The housing assessment is a comprehensive checklist for project staff to complete as a review of habitability standards for each of the units funded by the SHP grant.

Tool 1

Measuring Project Progress

The Supportive Housing Program has three basic goals for each local project it funds:

- To help participants obtain and remain in permanent housing,
- To help participants increase skills and/or income, and
- To help participants achieve greater self-determination.

SHP project sponsors are expected to establish specific project goals and performance measures within each of these larger areas as part of the Technical Submission. The performance measures must indicate a specific level of achievement so that clear progress can be tracked over the term of the grant. On an annual basis, local SHP projects are required to report on these performance measures in the Annual Progress Report (APR).

For additional information and examples on establishing project goals, see ***Section A of the SHP Desk Guide***. Information regarding the APR can be found in ***Section N*** of this same guide.

To measure advancement towards these goals, a project must document the progress of individual participants. For each client served, individual service plans should be developed to include the appropriate goals for housing stability, increased skills and/or income, and greater self-determination for movement beyond the Supportive Housing Program. The ***Individual Service Plan Guide*** provided here will aid project staff in their efforts to document client level progress.

Periodic re-assessments of service plans inform staff on client progress and build a case file for each resident. This information, once collected in the aggregate for all participants, enables project staff to determine overall project progress.

The ***Project Progress Worksheet*** presented here should be completed on an annual basis starting with the goals specified in the Technical Submission as the baseline for each performance indicator. Client case files serve as the primary source of information used to complete the worksheet thereafter. Each year the goals for the performance indicators should be compared to the actual numbers realized by the program over the previous 12 month period.

Individual Service Plan Guide and Worksheet

The *Individual Service Plan (ISP) Worksheet* on the next page provides a basic format for recording the minimum of information required for local projects to monitor individual client progress towards SHP program goals of housing stability, increased skills/income and greater self-determination.

By tracking this progress through routine case management practice, projects are equipped with the information needed to monitor the overall project's success in assisting their participants in the above three areas. The information collected from the service plan forms the basis for completing the *Project Progress Worksheet*.

The first page, or *Cover Sheet*, of the worksheet should be completed as part of the initial intake assessment and be kept in a prominent position in the case files for easy reference. The long-term goals and action plan presented here serve as the roadmap for the individual participant. What is it that the client hopes to achieve in the long-term through participation in this SHP project? How will s/he get there and by when? The services that will facilitate this growth and the expected timeframe for accomplishment are key aspects to the setting of *realistic* goals.

The second page of the worksheet, the *Reassessment Worksheet*, should be initiated at intake and then completed at each subsequent assessment meeting with the participant. Daily or weekly case notes can supplement the information recorded on the Worksheet, but should not take the place of the ISP Worksheet.

The "Steps to Goal Attainment" presented on this page are sub-goals, action steps, or milestones for the accomplishment of the long-term goals that appear on the cover sheet. For each goal (to be copied from the cover sheet), the case manager or social worker lists the action steps, the responsible parties, and the target date suggested to help achieve the stated goal. At the reassessment, the case manager then documents progress in terms of services provided and outcomes. Revisions can be made to any of the goals and/or action steps, as needed. At the same time, the case manager, in consultation with the client, reports the client's strengths and hurdles and makes any necessary adjustments to the overall plan.

Supportive Housing Program
Individual Service Plan Worksheet: Cover Sheet

PROGRAM ENTRY	
Name	
Date of Intake	
Date Participant Eligibility Worksheet completed	
Date Entered Program	
Date of Initial Assessment	
PROGRAM EXIT	
Date of Exit	
Condition of Exit	**Comments**
Terminated	
Moved to Permanent Housing	
Other	

LONG TERM GOALS (up to 24 months)			
A. Obtain and Remain in Permanent Housing	**Supportive Services Required for Achievement**	**Target Date for Achievement**	**Date Achieved**
Goal A1:			
Goal A2:			
Goal A3:			
B. Achieve Greater Self-Determination	**Supportive Services Required for Achievement**	**Target Date for Achievement**	**Date Achieved**
Goal B1:			
Goal B2:			
Goal B3:			
C. Increase Skills and/or Income	**Supportive Services Required for Achievement**	**Target Date for Achievement**	**Date Achieved**
Goal C1:			
Goal C2:			
Goal C3:			

Supportive Housing Program
Participant Re-assessment Worksheet

Client Name:		**Date of Initial Assessment:**			
Case Manager:		**Date of Re-Assessment:**			
STEPS TO GOAL ATTAINMENT (1-6 months)					
A. PERMANENT HOUSING					
Goals	Milestones for Achievement			Services Provided to Date	Outcome & Revisions
	Action Step	Responsible Party	Date		
Goal A1					
Goal A2					
Goal A3					
Client Strengths:					
Client Obstacles:					
Progress Summary:					
Follow Up:					

B. GREATER SELF-DETERMINATION					
Goals	Milestones for Achievement			Services Provided to Date	Outcome & Revisions
	Action Step	Responsible Party	Date		
Goal B1					
Goal B2					
Goal B3					
Client Strengths:					
Client Obstacles:					
Progress Summary:					
Follow Up:					

C. INCREASED SKILLS AND/OR INCOME					
Goals	Milestones for Achievement			Services Provided to Date	Outcome & Revisions
	Action Step	Responsible Party	Date		
Goal C1					
Goal C2					
Goal C3					
Client Strengths:					
Client Obstacles:					
Progress Summary:					
Follow Up:					

Client Signature:____Date:___________________

Case Manager Signature:____**Date:**___________________

Participant Income and Rent Table

Record the participant's income and source at the time of the initial assessment. Also, using the ***Resident Rent Calculation Worksheet*** (see Tool 6) determine the correct amount of monthly rent participant should be charged. Include the completed Resident Rent Calculation Worksheet in the participant file. Review of participant income is required to occur on an annual basis.

Source of Income	**Weekly Income Amount**	**Monthly Income Amount**	**Annual Income (after adjustments – see Rent Calculation Worksheet)**
	$	$	$
	$	$	$
	$	$	$
Total Income			$
Resident Rent Amount	$		

Project Progress Worksheet

Project Name:						
Performance Indicator						
1. Numbers of Participants to be Served		**Goal Specified in Technical Submission**	**Year 1**	**Year 2**	**Year 3**	**Comments**
Project Capacity: Numbers served at *any one point in time*:						
1a.	At one time, # of single individual (not in families)					
1b.	At one time, # of families					
1c.	# of persons in families					
Project Cumulative: Total numbers served *during the operating year*:						
1d.	Cumulative total # of single individuals served (not in families)					
1e.	Total # of families					
1f.	# of persons in families					
2. Residential Stability		**Goal Specified in Technical Submission**	**Year 1**	**Year 2**	**Year 3**	**Comments**
2a.	# moved to permanent housing					
2b.	Cumulative # moved to permanent housing					
2c.	# remaining in permanent housing					
3. Increased Skills		**Goal Specified in Technical Submission**	**Year 1**	**Year 2**	**Year 3**	**Comments**
3a.	[Insert Project Goal]					
3b.	[Insert Project Goal]					
3c.	[Insert Project Goal]					
3d.	[Insert Project Goal]					
3e.	[Insert Project Goal]					
4. Change in Income		**Goal Specified in Technical Submission**	**Year 1**	**Year 2**	**Year 3**	**Comments**
4a.	# of participants whose monthly income increased					
4b.	#of participants whose monthly income decreased					
5. Participant Progress Toward Self-Determination		**Goal Specified in Technical Submission**	**Year 1**	**Year 2**	**Year 3**	**Comments**
5a.	[Insert Project Goal]					
5b.	[Insert Project Goal]					
5c.	[Insert Project Goal]					
5d.	[Insert Project Goal]					
5e.	[Insert Project Goal]					

Instructions for using the Program Progress Worksheet

1. Numbers of Participants Served

How many participants is the SHP project serving? Assess how close to "capacity" the project is operating by comparing the number of participants established in the Technical Submission as the original program goal with the actual number of participants being served at one time.

2. Residential Stability

How many participants moved to permanent housing over the one-year period? Compare this number with the goal established in the narrative section of the Technical Submission to determine program progress.

Complete cumulative numbers of those moving to permanent housing and those remaining in permanent housing to track overall project progress.

3. Increased Skills

Complete this section with the goals established in the narrative section of the Technical Submission used to measure an increase in participant skills. Compare set goals with the number of participants who increased that particular skill during the course of the year to assess program progress.

4. Change in Income

How many participants experienced an increase in income over the pervious 12-month period? Compare this number to the goal as established in the Technical Submission. How many participants experienced a decrease in income over the same 12-month period?

5. Participant Progress Toward Self-Determination

Complete the goal column of the worksheet with the measures established by the project to reflect participant progress towards self-determination. (See the narrative section of the Technical Submission.) Compare the baseline measures against the annual project accomplishments to determine if goals for this performance indicator are being met.

Tool 2

Determining and Documenting Participant Eligibility

Supportive Housing Program projects need to serve homeless persons as defined by HUD, as well as any sub-population of homeless identified in the grant application. (The standard definition of homeless is provided in ***Section B of the SHP Desk Guide***: Eligible Participants.) SHP project staff should be familiar with the criteria in order to determine participant eligibility at intake. In addition, it is important that for each participant file there is documentation that verifies that the participant meets the HUD's definition of homelessness.

The ***Participant Eligibility Guide*** and ***Participant Eligibility Worksheet*** presented here identify the eligible populations and the type of verification needed to provide proof of homelessness. In most cases, verification comes in the form of third-party documentation. Proof of homelessness should be established during the course of the application or intake process, and paperwork verifying homeless status must be maintained in each participant case file.

SHP projects that provide permanent housing for persons with disabilities must also include verification of the participant's disability in the client file. Written verification must come from a qualified source, such as a physician. (A person with disabilities is defined in section 422 of the Supportive Housing Program statute.)

It is important for program staff to keep in mind that the use of a "check-off" system on the intake form indicating the participant is homeless is considered insufficient documentation. Proof of homelessness must be included in the file.

Another important aspect to documenting participant eligibility is to be sure the information is consistently recorded in the client file. Notes from the intake referring to eligibility, supporting documentation and acceptance into the program should all indicate the same eligibility determination.

Participant Eligibility Guide

Who is your organization serving?	Then you need to...	This means...
Persons living on the street	Certify that the persons served reside on the street.	For those SHP projects providing services—such as outreach, food, health care, clothing—to persons who reside on the streets (but not in shelters or other places meant for human habitation), the outreach or service worker needs to sign and date a general certification that: 1) verifies that the services are going to homeless persons, and 2) indicates where the persons served reside.
Persons coming from living on the street (and into a place meant for human habitation)	Obtain information to indicate that the participant is coming from the street.	You must verify that an individual is coming from the street through: • organizations or outreach workers who have assisted him/her in the past; • determining where the resident receives assistance checks, if applicable; and/or • other information regarding the participant's recent past activities. Document your verification efforts! Your staff should prepare a statement, that is then signed and dated. As a last resort, if you are unable to verify in this manner that the person is coming from living on the street, the participant or a staff member may prepare a short written statement about the participant's previous living place and have the participant sign the statement and date it.
Persons coming from an emergency shelter	Verify from the emergency shelter staff that the participant has been residing at the emergency shelter.	You need to obtain from the referring agency a written, signed, and dated verification that the individual has been a resident of the emergency shelter.
Persons coming from transitional housing for homeless persons	Verify with the transitional housing staff that: • the participant has been residing at the transitional housing; and • the participant was living on the streets or in an emergency shelter prior to living in the transitional housing facility or was discharged from an institution or evicted	You must obtain from the referring agency two written, signed, and dated verifications: 1) a signed statement from the transitional housing staff indicating that the individual had been a resident there; and 2) the referring agency's written, signed, and dated verification as to the individual's homeless status when he/she entered their program. If the referring agency did not verify the individual's homeless status upon entry into their program, you will need to verify that status yourself. That is, in addition to the written, signed, and dated verification from the referring agency that the individual has been residing in the transitional housing, you need to verify their status upon entry into transitional housing and document that status

Who is your organization serving?	Then you need to...	This means...
	prior to living in the transitional housing and would have been homeless if not for the transitional housing.	according to the instructions here. (For example, if the person was living on the streets before moving into the transitional housing, you will need to obtain the documentation required under "Persons coming from living on the street" above).
Persons being evicted from a private dwelling	Have evidence of the eviction proceedings.	You need to obtain two types of information: 1) documentation of: • the income of the participant; • what efforts were made to obtain housing; and • why, without the homeless assistance, the participant would be living on the street or in an emergency shelter. 2) Documentation of ***one of the following***: • *For formal eviction proceedings*, evidence that the participant was being evicted within the week before receiving homeless assistance; • *Where a participant's family is evicting*, a signed and dated statement from a family member describing the reason for the eviction; • *Where there is no formal eviction process* (in these cases, persons are considered evicted when they are forced out of the dwelling unit by circumstances beyond their control), two things are needed: - a signed and dated statement from the participant describing the situation; and - documentation and verification (through written, signed, and dated statements) of efforts to confirm that these circumstances are true.
Persons from a short-term stay (up to 30 consecutive days) in an institution who previously resided on the street or in an emergency shelter	Verify from the institution staff that the participant has been residing at the institution and was homeless before entering the institution.	You must obtain: 1) written verification from the institution's staff that the participant has been residing in the institution for less that 31 days; and 2) information on the previous living situation. Preferably, this will be the institution's written, signed, and dated verification on the individual's homeless status when he/she entered the institution. If the institution's staff did not verify the individual's homeless status upon entry into the institution, you will need to verify that status yourself, according to the instructions above (i.e., if the person was living on the streets before moving into the institution, you will need to obtain the documentation required under "Persons coming from living on the street").

Persons being discharged from a longer stay in an institution	Verify from the institution staff that the participant has been residing at the institution and will be homeless if not provided with assistance.	You need to obtain signed and dated: 1) evidence from the institution's staff that the participant was being discharged within the week before receiving homeless assistance; and 2) documentation of the following: - the income of the participant; - what efforts were made to obtain housing; and - why, without the homeless assistance, the participant would be living on the street or in an emergency shelter.
Persons fleeing domestic violence	Verify that the participant is fleeing a domestic violence situation.	You must obtain written, signed, and dated verification from the participant that he/she is fleeing a domestic violence situation. If the participant is unable to prepare the verification, you may prepare a written statement about the participant's previous living situation and have the participant sign and date it.

Remember

- Documentation of homelessness is required for each resident in your program, and must be written, signed, dated, and placed in participant files. Simply knowing that each individual you serve is homeless is not enough.

- Even if you, as the grantee, are not the service provider, you are still responsible for making sure that the service provider is properly documenting the homeless status of each participant.

Participant Eligibility Worksheet

Project Name: ____

Participant Name: ____

Date of Intake: ____

Type of Homelessness Documentation (Check the appropriate type of documentation used to verify homelessness and attach it to this worksheet. Maintain these forms in the participant file.)

Homeless Status	Type of Documentation	Documentation attached
Persons living on the street	A signed and dated general certification from an outreach worker verifying that the services are going to homeless persons, and indicates where the persons served reside.	
Persons coming from living on the street (and into a place meant for human habitation)	Staff should provide written information obtained from third party regarding the participant's whereabouts, and, then sign and date the statement.	
Persons coming from an emergency shelter for homeless persons	Written referral from the agency.	
Persons coming from transitional housing for homeless persons	Written verifications to include program residency and homeless status prior to program entry.	
Persons being evicted from a private dwelling	Documentation of income, efforts to obtain housing, why participant would be on street, and either documentation of formal eviction proceedings or statement from family evicting participant.	
Persons from a short-term stay in an institution who previously resided on the street or in an emergency shelter	Written verification from the institution's staff that the participant has been residing in the institution for less that 31 days; and information on the previous living situation.	
Persons being discharged from a longer stay in an institution	Written verification from the institution of discharge within one week of receiving homeless assistance AND documentation of income, efforts to obtain housing, and why person would be homeless without assistance.	
Persons fleeing domestic violence	Written, signed, and dated verification from the participant.	

Grantees and project sponsors must use SHP funds as originally planned and for eligible activities. ***Section D of the SHP Desk Guide*** describes the rules and regulations that govern how funds can be expended under seven eligible categories. These categories include:

- acquisition and rehabilitation,
- new construction,
- leasing,
- supportive services,
- operating costs, and
- project administrative costs.

The Desk Guide describes in detail what are eligible and ineligible activities under each of these categories. It is worth checking this periodically to ensure that your project is conforming to SHP program regulations.

The dollar amount awarded for each activity covered under the grant is indicated in the ***Technical Submission in Exhibit 1, Section B Project Budget and Milestones***. Any deviation from these planned expenditures requires approval from HUD and should be documented in an Amendment to the Technical Submission.

On a regular basis (at least annually), program staff should compare the Project Budget information in the Technical Submission with expenditures in each of the funded activities to ensure: 1) funds are spent on the appropriate activities; and 2) spending is carried out in a timely way, and within the overall approved amount for each funded activity.

The attached ***Eligible Activity Expense Worksheet*** can be used to track spending on an annual basis. Programs should be aware of over- or under-spending, and consult with their local HUD Field Office immediately to discuss if corrective action is needed. Any changes to the approved project budget must be reviewed and agreed to by the Field Office.

Eligible Activity Expense Worksheet

The approved project budget amounts as indicated in the Technical Submission should be entered on the appropriate line in Column 2. Expenditures for each approved category should be entered on an annual basis in order to track spending by category and according to the total grant amount.

SHP Grant: ____

SHP Activities	2. Amount Specified in Technical Submission and Amendments	3. Amount Expended Year 1	4. Amount Expended Year 2	5. Amount Expended Year 3	**6. Total**
$ for Acquisition					
$ for Rehabilitation					
$ for New construction					
$ for Lease					
$ for Operations					
$ for Supportive services					
$ for Administration (up to 5%)					
Total					

Tool 3

Tracking Match Requirements

A complete description of the HUD regulations governing the SHP match requirements for each of the eligible activity areas can be found in ***Section D of the SHP Desk Guide***.

By completing the ***Match Worksheet*** attached here, local SHP projects can compare the matching funds committed in their Technical Submission to actual match amounts received. The worksheet should be used for the duration of the grant and allows for information to be recorded on an annual basis. This check will determine if the relevant match requirements have been met on a yearly basis. Instructions on how to complete the worksheet are attached.

The match requirement and its location in the Technical Submission depend on the type of activity funded by the SHP grant. Use the ***Match Requirement Guide*** below to locate your match:

Match Requirement Guide

SHP Activity	Match Requirement	Location of Pledge in Technical Submission[1]
Acquisition, Rehabilitation, and new Construction	A 100 percent match is required for acquisition, rehabilitation and new construction.	Exhibit 1, Chart 1.
Supportive Services	The match requirement for supportive services is applicable beginning with 1999 SHP awards. For these awards grantees are required to provide a 20 percent match towards the total cost of supportive services.	Exhibit 4, Chart 4A, lines 6 and 7.
Operations	The match requirement for operations, beginning with grants made as part of the FY 2000 competition, requires grantees to match 25 percent of the cost of operations for each year of the grant. Grants awarded ***prior to FY2000*** require a 25 percent match in the first two years of the grant, and a 50 percent match in the third year of the grant.	Exhibit 5: Operating Budget.

[1] Location of Pledge in the Technical Submission may vary from year to year depending upon the placement of charts in the Technical Submission Exhibits.

For SHP Projects

1. SHP Activity	2. Application Amount Pledged	3. Amount SHP Funded	4. Total Site Expenditures	5. Grantee Cash Expended	6. Match Percentage Expected[2]	7. Match Amount Expected	8. Is grantee cash expended or = to match amount expected?	9. Amount Drawn Down from SHP Grant	10 Total Expend Min Grantee Exper	
Acquisition					100%					
Rehabilitation					100%					
New construction					100%					
Leasing - yr 1					NA	NA				
Leasing - yr 2					NA	NA				
Leasing - yr 3					NA	NA				
Leasing - yr 4					NA	NA				
Leasing - yr 5					NA	NA				
Sup serv - yr 1					20%					
Sup serv - yr 2					20%					
Sup serv - yr 3					20%					
Sup serv - yr 4					20%					
Sup serv - yr 5					20%					
Operations - yr 1					25%					
Operations - yr 2					25%					
Operations - yr 3					25%					
Operations - yr 4					25%					
Operations - yr 5					25%					

[2] The percentages listed for operations reflect requirements for grants made FY2000 or after. The percentages listed for

Match Worksheet Instructions:

Column 2: Application Amount Pledged, Column 3: Amount SHP Funded and Column 4: Total Site Expenditure

Refer to Technical Submission to complete Columns 2, 3, and 4 of the Match Worksheet.

For Acquisition, Rehabilitation and New Construction:

Turn to Chart 1 in the Technical Submission. For each activity refer to the appropriate line and subtract the amount in the SHP Request column from the Total Budget column. This is the pledged contribution amount for that activity. Enter that dollar amount in **Column 2** of the Match Worksheet by activity line item. To complete **Column 3** of the Worksheet copy the amount listed for each activity on Chart 1 under SHP Request to the activity line item on the worksheet. Total site expenditures can be found under Total Project Budget in Chart 1 and placed in **Column 4** of the Worksheet by activity.

For Supportive Services:

Turn to Chart 4A of the Technical Submission. Refer to lines 6 and 7 to complete Column 2 of the worksheet. Subtract the SHP Request amount in line 7 from the Total Supportive Services Budget in line 6 for each year and record in **Column 2** for each year. The amounts listed by year for line 7 SHP Request can be transferred to **Column 3** of the Worksheet. **Column 4** Total Site Expenditures can be completed using the information in line 6 form Chart 4A.

For Operations:

Turn to Exhibit 5: Operating Budget on the Technical Submission. To complete **Column 2** of the worksheet subtract line 12 SHP Request from line 11 Total Operations Budget for each year. Fill in amount in Column 2 of the Match Worksheet for each year calculated. To complete **Column 3** "Amount SHP Funded" transfer the amounts listed by year on line 12 to the corresponding line in column 3 of the worksheet. Total site expenditures (**Column 4** of the worksheet) can be completed using the information listed on line 11 in Exhibit 5. The information should be recorded by year.

Column 5: Grantee Cash Expended

To complete Column 5 "Grantee Cash Expended" refer to program accounting records. Complete the amount of money spent by the program for each activity each year.

Column 6: Match Percentage Expected

Column 6 "Match Percentage Expected" indicates the percentage of the total expenditures for each line item, each year the program is expected to fund. The percentages listed in the table for operations reflect requirements for grants made FY2000 or after. The percentages listed for supportive services reflect the requirements that apply to grants beginning with 1999 awards.

Column 7: Match Amount Expected

Column 7 "Match Amount Expected" for acquisition, rehabilitation and new construction can be completed by copying the amount from the "Amount SHP Funded" in Column 3 to the corresponding line in Column

7. To complete Column 7 for the supportive services and operations lines multiply the number in Column 4 by the percentage in Column 6.

Column 8: Grantee Cash Expended Vs. Match Amount Expected

Compare amount in column 5 with amount in column 7. If column 5 is greater than or equal to the amount in column 7 put a "Yes" in column 8. If the amount in column 5 is less than the amount in column 7 put a "No" in column 8.

Column 9: Amount Drawn Down from SHP Grant

Complete this column with financial information obtained from your fiscal department on the amount of money the program has drawn down from the SHP grant for each activity in total for acquisition, rehabilitation and new construction, and by year for the remaining activities listed.

Column 10: Total Site Expenditures Minus Grantee Cash Expended

Subtract the amount listed in Column 5 (Grantee Cash Expended) from Column 4 (Total Site Expenditures) for each line item.

Column 11: Match Determination

Compare the amounts listed in Columns 9 and 10. If the dollar amount listed in the two columns is equal put a "Yes" in Column 11. If the amount in Column 10 is greater than the amount in Column 9 put a "Yes" in Column 11. If the amount in Column 11 is less than Column 9, put a "No" in Column 11.

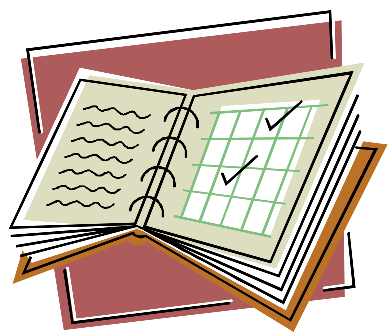
Tool 4

Tracking Important Contract Dates and Implementation Milestones

Grantees must meet certain progress goals and implementation milestones as set forth in the SHP program regulations and as agreed upon in the Technical Submission. These timeframes are discussed in ***Section F of the SHP Desk Guide***. To demonstrate that project goals are met and funds are expended as intended and in a timely fashion, grantees must operate within the implementation guidelines**.**

The Contract Life and Milestones Worksheet provided here can be used by SHP project staff to track important dates, and periodically monitor progress towards meeting project milestones. In the cases where goals were outlined in the Technical Submission, programs can compare planned dates for completion versus actual dates to see if goals were met.

The reference points for tracking timeliness include:



- the date of the award letter,
- the date of the grant agreement execution,
- the start of operations, and
- program milestones as outlined in the technical submission.

Additional activities are triggered by these dates. For example, site control must occur within one year of the date the award letter is signed. In addition, annual progress reporting must occur within 90 days of the annual anniversary date of the start of operations.

Contract Life and Milestones Worksheet

Contract Milestones			**Planned**	**Actual**	**Goal Met? Yes/No**
1.	**Award Notification**	What is the date of the letter from HUD indicating selection as a conditionally funded recipient?			
2.	**Site Control**	Award Notification Date plus one year			
3.	**Contract Effective Date**	Date local HUD office signs grant agreement. (See date as it appears below the signature of the Director of CPD Division on the grant agreement.)			
4.	**Project Sponsor Date**	What is the date of the written agreement between the grantee and the project sponsor?			
5.	**Operating Start Date**				
	For Acquisition, Rehabilitation and New Construction grants:	Date all acquisition, rehabilitation and new construction activities completed?			
		Date a copy of the Certificate of Occupancy sent to the local HUD field office?			
		Date the first participant accepted into the project.			
	For Supportive Service Only grants:	When did the project accept the first participant?			
6.	**Annual Progress Reports**	Due within 90 days after each anniversary of the operations start date.			
Project Implementation Milestones			**Planned**	**Actual**	**Goal Met?**
a.	Closing on purchase of land, structure, or execution of lease				
b.	Last unit leased, if leasing scattered sites				
c.	Rehabilitation started				
d.	Rehabilitation completed				
e.	New construction started				
f.	New construction completed				
g.	Operations staff hired				
h.	Residents begin to occupy				
i.	Supportive services begin				
j.	Facility near 100% occupied				
k.	Enrollment in supportive services near 100% capacity				

Contract Life and Milestones Worksheet Instructions

Dates for the completion of certain contract events should be entered in the worksheet as a guide for further planning and as a means of establishing the overall time frame for the life of the grant.

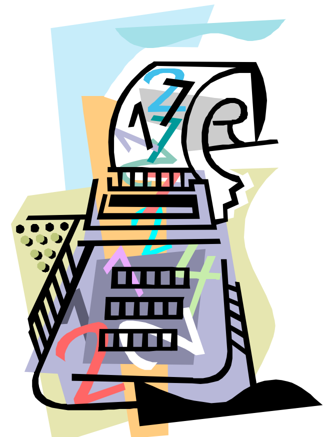
In other cases, dates can be figured according to HUD regulations or program plans specified in the Technical Submission. The planned dates for these activities can be entered into the "Planned" column of the worksheet, with the actual date of completion for each entered into the "Actual" column. In comparing the planned versus actual dates, SHP project staff can determine if activities are being completed in a timely manner and according to the grant agreement.

Where dates are met, enter a "Yes" in the "Goals Met" column. Where goals are not met, (as indicated by actual dates not meeting the planned dates) a "No" should be entered in the "Goals Met" column. In such cases, project staff are urged to consult with their local field office right away.

The project milestones section of the worksheet should be completed for each structure used for the program. Additional sheets can be added for as many structures as are included in project. Planned dates for completing each of the project milestones can be found in the Technical Submission in Chart 2 – Project Milestones.

Tool 5

Calculating Resident Rent



SHP projects are not required to charge rent. However, if a local project receiving SHP funds decides to charge rent, specific federal guidelines apply. The guidelines are discussed in detail ***in Section K of the SHP Desk Guide***. In summary, resident rent is the higher of:

- 30 percent of monthly adjusted income
- 10 percent of monthly gross income
- welfare rent (if applicable)

The ***Resident Rent Calculation Worksheet*** provided here is a version of a rent calculation form that can be used and included as part of the participant file. For a more detailed accounting of the regulations that govern rent calculation, grantees should reference 24 CFR 583.315.

A regular review of income (at least annually) must be conducted for all residents being charged rent so appropriate adjustments may be made. If there is a change in family composition, or a decrease in resident income, the resident may request an interim review of income and the rent may be adjusted accordingly.

Resident Rent Calculation Worksheet

Part I TOTAL ADJUSTED INCOME DETERMINATION		
ANNUAL GROSS INCOME		
A. Income	**Type Of Income Reported**	**Amount**
Some of the types of income that should be included are employment income, social security, welfare assistance, unemployment, and disability or worker's compensation. This is not, however, a complete list. For a comprehensive listing of the types of income that must be included in calculating total household income, see the "Annual Income Includes" paragraph in the SHP Desk Guide.		$
		$
		$
		$
		$
Total A:		$
B. Income Exclusions	**Type Of Exclusion**	**Amount**
Income exclusions can include income from children under 18, payments received for the care of foster children or adults, and reimbursement for the cost of medical expenses. For a complete list of the income exclusions which should be considered when calculating total amount of exclusions, see "Income that Must be Excluded" in the SHP Desk Guide.		$
		$
		$
Total B:		$
C. Annual Gross Income:		**Amount**
Subtract the total amount of income exclusions from the total amount of eligible income.		
Total A-B:		$

Part I (continued)		
ADJUSTMENTS TO INCOME		
D. Dependent Allowance	**Number Of Dependents**	**Amount**
Multiply the number of dependents by $480		$
E. Child Care Allowance	**Description**	**Amount**
Child care expenses for children 12 and under that are made in order for a household member to work. Amount deducted cannot exceed amount received for work. For a complete reference see “Adjustments to Income: Child Care Allowance” in SHP Desk Guide.		$
F. Disabled Assistance Allowance	**Description**	**Amount**
F1. Disabled assistance expense: Reasonable expenses for attendant care that enable a household member to work.		$
F2. Adjusted amount of disabled assistance expense. To calculate, multiply Disabled Assistance expenses by .03.	**F1 x .03 =**	$
F3. Adjusted disabled assistance expense: Subtract adjusted amount of disabled assistance expense from disabled assistance expense: **(F1-F2)**	**F1 - F2 =**	$
F4. Family members' earnings dependent on attendant care:		$
F5. Enter lesser of adjusted disabled assistance expense or family member earnings:	**Total:**	$
G. Medical Expenses Allowance	**Description**	**Amount**
G1. Medical Expenses not covered by insurance or unreimbursed. See Desk Guide.		$
G2. If Adjusted Disabled Assistance Expense (**F3**) is greater than zero, enter Medical Expenses to the right. If not, add Disabled Assistance Expense (**F1**) and Medical Expenses (**G1**) lines and enter to the right.	**Total:**	$
H. Elderly or Disabled Family Allowance		**Amount**
Multiple number of elderly (62 years or older) or disabled family members who are the head of household, spouse, or sole member of household by $400.	**Total:**	$
I. Total Allowances		**Amount**
To calculate, sum the totals from all applicable allowances (D+E+F+G+H):	**Total:**	$

J. TOTAL ADJUSTED INCOME		
Enter Annual Gross Income (Line C)		$
Enter Total Allowances (Line I)		$
J. TOTAL ADJUSTED INCOME: To calculate, subtract Total Allowances from Annual Gross Income	**Line C - Line I:**	$
Part II. RESIDENT RENT DETERMINATION		
		Amount
K. Divide TOTAL ADJUSTED INCOME (Line J) by 12 and multiply by 30 percent.	**(Line J/12 months) x .30 =**	$
L. Divide ANNUAL GROSS INCOME (Line C) by 12 and multiple by 10 percent.	**(Line C/12 months) x .10 =**	$
M. Amount of WELFARE RENT, if applicable		$
N. **MAXIMUM RENTAL AMOUNT PER MONTH:** Compare the three amounts **(lines K, L, and M**) under RESIDENT RENT DETERMINATION and enter the LARGEST of the three to the left	**Largest of K, L, and M:**	$
RESIDENT RENT WHEN UTILITIES ARE NOT INCLUDED IN RENT		
O. Utility Allowance	**Description**	**Amount**
Enter total amount of utility allowance. (For more information about the utility allowance see "General Topics Regarding Resident Rent: Utility Payments" in the SHP Desk Guide.)		$
P. ADJUSTED RESIDENT RENT WITHOUT UTILITIES: Subtract Utility Allowance from MAXIMUM RENTAL AMOUNT PER MONTH	**Line N - Line O:**	$

Tool 6

Record Keeping and Financial Management

All housing programs should maintain sound financial practices in managing grant funds provided by HUD. There are very specific federal regulations regarding the seven areas of financial management that are necessary components of any fiscally responsible operation.

The financial management system for an SHP program should address the following areas:

- internal controls,
- budget controls,
- cash management,
- accounting records and documentation,
- procurement,
- property controls, and
- audits.

The ***Financial Management Standards Guide*** on the next page provides references to the HUD regulations that should be the basis of a financial management system. After referring to the federal regulations named in the ***Financial Management Standards Guide***, local SHP projects should use the ***Financial Management Worksheet*** to determine if the financial management system meets HUD requirements.

Financial Management Standards Guide

1. **Internal Controls.** Per the federal regulations at 24 CFR 84.21(b) and 85.20(b), the formal standard relative to internal controls is that "effective control and accountability must be maintained for all grant and subgrant cash, real and personal property, and other assets. Grantees and subgrantees must also adequately safeguard all such property and assure that it is solely used for authorized purposes."

2. **Budget Controls.** The standard for budget controls, per 24 CFR 85.20(b)(4) and 24 CFR 84.21(b)(4) is that "actual expenditures and outlays must be compared with budgeted amounts for each grant or subgrant. Financial information must be related to performance or productivity data, including the development of unit cost information whenever appropriate or specifically required in the grant."

3. **Cash Management.** The federal requirements for cash management, per 24 CFR 85.20(b)(7) and 24 CFR 84(b)(5), require that the organization (or agency) have "procedures for minimizing the time elapsing between the transfer of funds from the U.S. treasury and disbursement by [the organization or agency]," whenever advances of federal funds are used.

4. **Accounting Records/Source Documentation.** The federal requirements for accounting records and source documentation, per 24 CFR 85.20(b)(2) and (6) and 24 CFR 84.21(b)(2) and (7), are that the organization (or agency) must "maintain records which adequately identify the source and application of funds provided….These records must contain information pertaining to grant or subgrant awards and authorizations, obligations, unobligated balances, assets, liabilities, outlays or expenditures, and income." Further, these "accounting records must be supported by source documentation such as cancelled checks, paid bills, payrolls, time and attendance records, contracts…etc."

5. **Procurement.** The federal requirements relative to procurement are found at 24 CFR 85.36 and 24 CFR 84.40-48.

6. **Audits.** The federal standards for audits can be found in OMB Circular A-133. Basically, the federal standards (which derive from the Single Audit Act Amendments of 1996) apply to any entity that received $300,000 or more in federal funds in a single year.

Financial Management Worksheet

A. Internal Controls	**Yes**	**No**
A1. Has the organization (or agency) had an audit completed recently by an independent certified public auditor (within the last three months) that examined, among other things, the organization's compliance with the financial management requirements (in 24 CFR part 84 or 85) relative to its SHP funding? [If no, skip to A7]		
A2. Enter the audit completion date:________________		
A3. Did the audit report indicate any deficiencies or material weaknesses in the organization's system of internal controls? [If no, skip to A5]		
A4. List what was cited:		
A5. Has the organization initiated any changes in its system of internal controls since completion of the audit?		
A6. List changes made:		
Does the organization (or agency) have:		
A7. A *written policy manual* specifying approval authority for financial transactions? *OR* An *organizational chart* showing titles and lines of authority for all individuals involved in approving or recording financial (and other) transactions *AND* written position descriptions detailing the responsibilities of all key employees involved in financial transactions?		
A8. A chart of accounts and an accounting manual which includes written procedures for the authorization and recording of transactions?		
A9. Documentation of adequate separation of duties for all financial transactions (that is, all financial transactions require the involvement of at least two individuals)?		
A10. Documentation of hiring policies that ensure that staff qualifications are equal to job responsibilities?		
A11. Evidence that it maintains adequate control of access to accounting records, blank forms and checkbooks, and confidential records?		
A12. Evidence that the financial records are regularly reconciled, including a periodic comparison of the organization's records with actual assets and liabilities?		

B. Budget Controls	**Yes**	**No**
B1. Does the organization (or agency) document that on a regular, on-going basis it compares actual expenditures for the SHP award with the budgeted amounts (including the amount budgeted for each line item category)?		
B2. Does the organization (or agency) document that it relates its financial information to performance or unit cost data, as appropriate?		
C. Cash Management	**Yes**	**No**
C1. Does the organization or agency draw down its federal funds on an advance basis? [If No, skip to C3.]		
C2. Does the organization or agency have written procedures in place which are consistently followed to ensure that federal funds drawdown on an advance basis are disbursed within three business days of their receipt from the U.S. Treasury?		
C3. If the organization or agency draws down its federal funds on a reimbursement basis, how frequently does it request such reimbursements? Average frequency of recent drawdown requests: _______________ Federal funds drawn down to date: _______________ Reimbursable expenses not yet drawn down: _______________		
D. Accounting Records/Source Documentation	**Yes**	**No**
Do the organization's accounting records identify the source and use of all funds, including information on:		
D1. ▪ Awards?		
D2. ▪ Authorizations?		
D3. ▪ Obligations?		
D4. ▪ Unobligated balances?		
D5. ▪ Assets?		
D6. ▪ Liabilities?		
D7. ▪ Outlays or expenditures?		
D8. ▪ Income?		
D9. Are the accounting records of the organization supported by adequate source documentation?		
D10. If wages for staff are chargeable to more than one funding source, are there time distribution records to support the amounts charged to the SHP grant?		
D11. Are the costs charged to the SHP grant all actually eligible under the SHP program? [Note: See 24 CFR 583.105-135 for list of eligible activities under SHP program, and OMB Circulars A-87 (for government entities) and A-122 (for non-profits) for general federal rules regarding eligible and ineligible costs.]		
D12. Does the organization have a system in place for maintaining its financial records relative to the SHP grant for the proper period of time specified by the federal regulations (i.e., for three years from its last performance report to HUD, or until any litigation, claim, audit, or other action involving the records has been resolved, whichever comes later)?		

E. Procurement	Yes	No
E1. Does the organization maintain a *written "standard of conduct"* governing the performance of employees engaged in the award or administration of contracts, in order to avoid real or apparent conflicts of interest?		
E2. Are all purchases or procurements (no matter how small) conducted in a manner to provide, to the extent practical, *free and open competition*, and is this documented?		
E3. Does the organization maintain *written procurement policies* that specify procedures to avoid the purchase of unnecessary items, to examine lease versus purchase alternatives, and to ensure that solicitations for goods and services contain clear and accurate descriptions of the technical requirements being sought?		
E4. Does the organization ensure that *small, women-owned, and minority-owned businesses* are used to the fullest extent possible, and is this documented?		
E5. Is some form of *cost and price analysis* performed for every procurement action, and documented in the procurement files?		
E6. For procurements that exceed the small purchase threshold (the federal threshold is $100,000, but the local or state government may set a lower threshold), do the procurement files include the following documentation:		
E7. ▪ Basis for contractor selection?		
E8. ▪ Justification for lack of competition when competitive bids or offers were not obtained?		
E9. ▪ Basis of award cost or price?		
E10. Does the organization maintain a *system of contract administration* to ensure contractor conformance with terms and conditions of contracts?		
E11. Do contracts that exceed the small purchase threshold—if there are any—include the written provisions specified in 24 CFR 85.36(I) or 24 CFR 84.48?		
F. Property Controls	**Yes**	**No**
F1. Does the organization maintain a system for tracking property and other assets bought or leased with grant funds? [If no, skip to F3]		
F2. As part of this system, does the organization conduct a periodic (at least annual) physical inventory or inspection of property bought or leased with grant funds?		
F3. Does the organization have procedures in place to keep its property safe (such as adequate locks, engraving of portable equipment, and/or storage of such equipment in locations that are reasonably secure)?		
F4. Does the organization have systems in place to ensure that the equipment leased or purchased with grant funds is used solely for authorized purposes (e.g., leased vehicles are not employed for personal use)?		

G. Audits	Yes	No
G1. Did the organization (or agency) receive more than $300,000 in federal funds during any year since the receipt of the specific SHP grant being reviewed? [If no, skip to G11]		
G2. Year(s): _______________		
G3. Did the organization (or agency) have an audit completed within nine months of the end of each of the fiscal year(s) specified in above, and was/were the audit(s) conducted consistent with the standards of OMB A-133?		
Did the audit(s) provide the following:		
G4. ▪ A financial statement and schedule of federal assistance?		
G5. ▪ An assessment about whether the records of the organization accurately reflected the actual revenues, assets, expenditures, and liabilities of the organization?		
G6. ▪ An evaluation of internal controls?		
G7. ▪ A report on program compliance?		
G8. Did the organization submit the audit report to HUD and any other relevant "federal awarding agencies" (identified in the organization's "data collection form" submitted to the federal clearinghouse specified by OMB)?		
G9. Did the audit report contain any findings regarding deficiencies or material weaknesses, compliance findings, questioned costs, or recommendations for improvements in the organization's financial systems? [If no, skip to G11]		
G10. If "yes", has the organization taken steps to ensure timely resolution of any audit findings, questioned costs, and/or recommendations?		
G11. If the organization was not required to have an audit per the standards of OMB A-122, did it nonetheless have an independent audit by a CPA that included an examination of SHP grant funds within the audit's scope?		
G12. Did the audit report contain any findings regarding deficiencies or material weaknesses, compliance findings, questioned costs, or recommendations for improvements in the organization's financial systems?		
G13. If "yes", has the organization taken steps to ensure timely resolution of any audit findings, questioned costs, and/or recommendations?		

Tool 7

Conducting A Housing Assessment

SHP project staff are required to conduct regular inspections of all housing units funded by a SHP grant. Generally, local SHP project staff should use the standards for habitability provided by HUD in 24 CFR 583.300(b) and outlined on the attached ***Habitability Standards Worksheet***. (If approved by HUD, SHP projects can instead use the standards set by local housing and health codes.)

Units should be inspected on an annual basis and upon a change in tenancy. The inspection involves a review of any third party documentation (such as a check of housing and public health code inspection certifications) as well as visual inspection of the unit by project staff.

The ***Habitability Standards Guide*** provided on the next page defines the "primary" and "secondary" means of inspection for each of the Habitability Standards indicated. Note that third party inspections are, in most cases, considered "primary" because these are performed by official, trained inspectors. Staff inspections are considered a "secondary" means of inspection.

Habitability Standards Guide

Habitability Standard	Primary method of Inspection	Secondary method of Inspection
Structure and Materials	Review of current local building and occupancy permits, housing/health code inspection certifications.	Walk-through inspection by program staff and observations whether structure appears sound and poses no threat to health and safety of residents and protects residents from the elements.
Access	Observations by program staff whether space is accessible (including accessible to handicapped), is not able to be utilized by unauthorized persons, and has alternate means of egress in case of fire.	
Space and Security	Review of current building and occupancy permits, housing/public health code inspection certifications.	Observation by program staff whether residents are afforded adequate space and security (i.e., residents and their property are reasonably safe from harm), and are provided adequate places to sleep.
Interior Air Quality	Review of current building and occupancy permits, housing/public health code inspection certifications, plus results of any air testing that has occurred (to measure levels of pollutants).	Observations by program staff that all individual rooms and common areas have natural or mechanical ventilation that appear to allow for adequate air circulation.
Water Supply	Review of current building and occupancy permits, housing/public health code inspection certifications, plus results of any water testing that has occurred.	Observations by program staff regarding use of filtration systems, and the nature of circulation/distribution systems used for potable water.
Sanitary Facilities	Review of current building and occupancy permits, housing/public health code inspection certifications.	Observations by program staff whether sanitary facilities are clean, in working order, and may be used in privacy.
Thermal Environment	Review of current building and occupancy permits, housing/public health code inspection certifications, plus any records of inspections, tune-ups, repairs, or replacement of heating/cooling systems.	Observations by program staff regarding temperature being maintained throughout the facility.
Illumination and Electricity	Review of current building and occupancy permits, housing/public health code inspection certifications.	Observations by program staff regarding the quality of illumination and the availability (and condition) of electrical outlets throughout the facility.
Food Preparation	Review of current building and occupancy permits, housing/public health code inspection certifications.	Observations by program staff regarding the cleanliness of food preparation areas, adequacy of food storage area, and whether there are any indications of infestation.
Sanitary Conditions	Review of housing/public health code inspection certifications.	General observations by assessment team.
Fire Safety – Individual Units	Observations by program staff of smoke detectors in each unit, and testing of said equipment by program staff. (Note: in units occupied by hearing-impaired persons, smoke detectors must have an alarm designed for hearing-impaired persons.)	
Fire Safety – Common Areas	Observations by program staff of at least one smoke detector in each public space, and testing of said equipment by the program staff.	

Habitability Standards Worksheet

Complete the Habitability Standards Worksheet for each unit occupied by an SHP participant. Units should be inspected on an annual basis, or with a change in tenancy. Complete the project name and location for the unit inspected at the top of each form. In the last column indicate with a "P", for primary means of inspection, or an "S", for secondary means of inspection, if the habitability standard was met at the time of inspection. Note any concerns in this column if the housing unit does not meet the standard. For any standard that is not met, steps should be taken immediately to correct the problem or concern.

SHP Project Name:

Project Location:

Habitability Standard	Needed Documentation (in addition to visual inspection)	P or S/ Comments
Structure & Materials		
Is the unit structurally sound, and does it protect residents from the elements?	Building permit; occupancy permit; housing/health code inspection certificates	
Access		
Is the unit accessible and able to be used without going through other units? Is there a second means of egress in case of fire?		
Space and Security		
Is the space adequate for the resident and his/her belongings? Does the resident have an acceptable place to sleep?	Building permit; occupancy permit; housing/health code inspection certificates	
Interior Air Quality		
Does each room have some form of natural or mechanical ventilation? Is the interior air free of pollutants?	Building permit; occupancy permit; housing/health code inspection certificates; results of any air testing that has occurred (to measure levels of pollutants)	
Water Supply		
Is the water supply free from contamination?	Building permit; occupancy permit; housing/health code inspection certificates; results of any water testing that has occurred	
Sanitary Facilities		
Does the resident have access to sanitary facilities that are in proper operating condition, may be used in privacy, and are adequate for personal cleanliness and disposing of human waste?	Building permit; occupancy permit; housing/health code inspection certificates	
Thermal Environment		
Are the heating and/or cooling facilities adequate and in proper operating condition?	Building permit; occupancy permit; housing/health code inspection certificates; any records of inspections, tune-ups, repairs, or replacement of heating/cooling systems	
Illumination and Electricity		
Does the house have adequate natural or	Building permit; occupancy permit;	

Habitability Standard	Needed Documentation (in addition to visual inspection)	P or S/ Comments
artificial illumination to permit normal indoor activities and support health and safety? Are there sufficient electrical sources to permit the safe use of essential electrical appliances?	housing/health code inspection certificates	
Food Preparation		
Do food preparation areas contain suitable space and equipment to store, prepare and serve food in a sanitary manner?	Building permit; occupancy permit; housing/health code inspection certificates	
Sanitary Conditions		
Is the unit maintained in sanitary condition?	Housing/health code inspection certificates	
Fire Safety – Individual Units		
Is there at least one working smoke detector on each occupied level of the unit? Are smoke detectors located in hallways adjacent to bedrooms where possible? Does each bedroom occupied by a hearing-impaired person have an alarm system designed for hearing-impaired persons?	None, but equipment must be regularly tested, and in units occupied by hearing-impaired persons, smoke detectors must have an alarm designed for hearing-impaired persons.	
Fire Safety – Common Areas		
Do all public areas (laundry rooms, community rooms, day care centers, hallways, stairwells, and other common areas) have at least one smoke detector?	None, but equipment must be regularly tested.	