

<b>Guide for Review of ESG Emergency Shelter Requirements</b>			
<b>Name of Recipient:</b>			
<b>Name of Subrecipient(s):</b>			
<b>Staff Consulted:</b>			
<b>Name(s) of Reviewer(s)</b>		<b>Date</b>	

**NOTE:** All questions that address requirements contain the citation for the source of the requirement (statute, regulation, or grant agreement). If the requirement is not met, HUD must select "NO" in response to the question and make a finding of noncompliance. All other questions that do not contain the citation for the requirement do not address requirements, but are included to assist the reviewer in understanding the participant's program more fully and/or to identify issues that, if not properly addressed, could result in deficient performance. Negative conclusions to these questions may result in a "concern" being raised, but not a "**finding**."

**Instructions:** This Exhibit is designed to assess the recipient's compliance with the Emergency Shelter component of the Emergency Solutions Grant (ESG) program. The eligible activity areas of review include the costs of providing essential services to homeless families and individuals in emergency shelters, renovating buildings to be used as emergency shelter for homeless families and individuals, and operating emergency shelters. This Exhibit is divided into two sections: Eligible Activities in Emergency Shelters; and Other Requirements for Emergency Shelters.

This Exhibit can be used to monitor a recipient, a single subrecipient, or multiple subrecipients. It is the responsibility of the HUD reviewer to ensure that the responses provide sufficient documentation to support the basis for the conclusions. Keep in mind that, if multiple entities are reviewed and a deficiency is identified for a single entity, a "No" response is required.

**Questions:**

**A. ELIGIBLE ACTIVITIES IN EMERGENCY SHELTERS**

1.

Did the recipient's or its subrecipients' records reflect that each emergency shelter funded with ESG meet the definition of emergency shelter? [24 CFR 576.2; 24 CFR 576.102]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<b>Yes</b>	<b>No</b>	<b>N/A</b>
<b>Describe Basis for Conclusion:</b>			

2.

Were all essential services provided only in an emergency shelter or to homeless individuals and families staying in emergency shelter? [24 CFR 576.102(a)]	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<b>Yes</b>	<b>No</b>	<b>N/A</b>
<b>Describe Basis for Conclusion:</b>			

3.

<p><b>Essential Services (Case Management):</b> Were ESG funds used for the costs of eligible activities listed under 24 CFR 576.102(a)(1)(i)(A)-(H), for the purposes of assessing housing and service needs, arranging, coordinating, and monitoring the delivery of individualized services to meet the needs of the program participant? [24 CFR 576.102(a)(1)(i)]</p>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <b>Yes No N/A</b>
<p><b>Describe Basis for Conclusion:</b></p>	

4.

<p><b>Essential Services (Childcare):</b> Were ESG funds used for eligible costs of childcare, including providing meals and snacks, comprehensive and coordinated sets of appropriate developmental activities, and also:</p> <ul style="list-style-type: none"> <li>a. in a childcare center that was licensed by the jurisdiction in which it operates; and</li> <li>b. for program participants under the age of 13 (unless the child is disabled and then the child must be under the age of 18)?</li> </ul> <p>[24 CFR 576.102(a)(1)(ii)]</p>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <b>Yes No N/A</b>
<p><b>Describe Basis for Conclusion:</b></p>	

5.

<p><b>Essential Services (Education Services):</b> Were ESG funds used for the costs of improving knowledge and basic educational skills, including eligible services and activities, only when necessary for the program participant to obtain and maintain housing, and as listed under 24 CFR 576.102(a)(1)(iii)? [24 CFR 576.102(a)(1)(iii)]</p>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <b>Yes No N/A</b>
<p><b>Describe Basis for Conclusion:</b></p>	

6.

<p><b>Essential Services (Employment Assistance and Job Training):</b> Were ESG funds used for eligible costs of employment assistance and job training programs, including, but not limited to, classroom, online and/or computer instruction; on-the-job instruction; and services that assist individuals in securing employment, acquiring learning skills, and/or increasing earning potential, and providing reasonable stipends to program participants in employment assistance and job training programs? [24 CFR 576.102(a)(1)(iv)]</p>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <b>Yes No N/A</b>
<p><b>Describe Basis for Conclusion:</b></p>	

7.

<p><b>Essential Services (Outpatient Health Services):</b> Were ESG funds used for the provision of direct outpatient treatment of medical conditions (as listed under 24 CFR 576.102(a)(1)(v)), and is the treatment provided:</p> <ul style="list-style-type: none"> <li>a. by licensed medical professionals, and</li> <li>b. only to the extent that other appropriate health services are unavailable within the community?</li> </ul> <p>[24 CFR 576.102(a)(1)(v)]</p>	<table style="width: 100%; border: none;"> <tr> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> <tr> <td style="text-align: center;"><b>Yes</b></td> <td style="text-align: center;"><b>No</b></td> <td style="text-align: center;"><b>N/A</b></td> </tr> </table>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<b>Yes</b>	<b>No</b>	<b>N/A</b>
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<b>Yes</b>	<b>No</b>	<b>N/A</b>					
<p><b>Describe Basis for Conclusion:</b></p>							

8.

<p><b>Essential Services (Legal Services):</b> Were legal services costs paid for with ESG funds only used:</p> <ul style="list-style-type: none"> <li>a. for hourly fees, or, if the cost was less than the cost of hourly fees, fees based on the actual service performed (i.e., fee for service);</li> <li>b. for legal advice and representation by attorneys licensed and in good standing with the bar association of the State in which the services are provided, or by person(s) under the supervision of the licensed attorney, regarding matters that interfere with the program participant's ability to obtain and retain housing;</li> <li>c. only to the extent that other appropriate legal services are unavailable or inaccessible within the community; and</li> <li>d. only for eligible subjects, services, and activities listed in 24 CFR 576.102(a)(1)(vi)?</li> </ul> <p>[24 CFR 576.102(a)(1)(vi)]</p>	<table style="width: 100%; border: none;"> <tr> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> <tr> <td style="text-align: center;"><b>Yes</b></td> <td style="text-align: center;"><b>No</b></td> <td style="text-align: center;"><b>N/A</b></td> </tr> </table>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<b>Yes</b>	<b>No</b>	<b>N/A</b>
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<b>Yes</b>	<b>No</b>	<b>N/A</b>					
<p><b>Describe Basis for Conclusion:</b></p>							

9.

<p><b>Essential Services (Life Skills Training):</b> Were ESG funds used for the eligible costs of teaching critical life management skills that might never have been learned or have been lost during the course of physical or mental illness, domestic violence, substance abuse, and homelessness, as listed under 24 CFR 576.102(a)(i)(vii), and was the training necessary to assist the program participant to function independently in the community?</p> <p>[24 CFR 576.102(a)(i)(vii)]</p>	<table style="width: 100%; border: none;"> <tr> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> <td style="text-align: center;"><input type="checkbox"/></td> </tr> <tr> <td style="text-align: center;"><b>Yes</b></td> <td style="text-align: center;"><b>No</b></td> <td style="text-align: center;"><b>N/A</b></td> </tr> </table>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<b>Yes</b>	<b>No</b>	<b>N/A</b>
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<b>Yes</b>	<b>No</b>	<b>N/A</b>					
<p><b>Describe Basis for Conclusion:</b></p>							

10.

<p><u>Essential Services (Mental Health Services)</u>: Were ESG funds used for the provision of eligible treatment of mental health conditions, as described under 24 CFR 576.102(a)(1)(viii), and was that treatment:</p> <p>a. by licensed professionals; and</p> <p>b. only to the extent that other appropriate health services are unavailable or inaccessible within the community?</p> <p>[24 CFR 576.102(a)(1)(viii)]</p>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <b>Yes No N/A</b>
<p><b>Describe Basis for Conclusion:</b></p>	

11.

<p><u>Essential Services (Substance Abuse Treatment Services)</u>: Were ESG funds used for eligible substance abuse treatment services (as listed under 24 CFR 576.102(a)(1)(ix)) designed to prevent, reduce, eliminate or deter relapse of substance abuse or addictive behaviors, and were the services:</p> <p>a. provided by licensed or certified professionals, and</p> <p>b. only to the extent that other appropriate substance abuse treatment are unavailable or inaccessible within the community?</p> <p>[24 CFR 576.102(a)(1)(ix)]</p>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <b>Yes No N/A</b>
<p><b>Describe Basis for Conclusion:</b></p>	

12.

<p><u>Essential Services (Transportation)</u>: Were ESG funds used for transportation costs for travel by program participants to and from medical care, employment, child care, or other eligible essential services facilities, and only for eligible costs as listed under 24 CFR 576.102(a)(1)(x)?</p> <p>[24 CFR 576.102(a)(1)(x)]</p>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <b>Yes No N/A</b>
<p><b>Describe Basis for Conclusion:</b></p>	

13.

<p><u>Renovation</u>: If ESG funds were used for renovation, including major rehabilitation of an emergency shelter or conversion of a building into an emergency shelter:</p> <p>a. were ESG funds used only for the costs of labor, materials, tools, and other eligible costs for renovation; and</p> <p>b. was the emergency shelter owned by a government entity or private nonprofit organization?</p> <p>[24 CFR 576.102(a)(2)]</p>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <b>Yes No N/A</b>
<p><b>Describe Basis for Conclusion:</b></p>	

14.

<p><b>Shelter Operations:</b> Did the recipient's or its subrecipients' records document that ESG funds were used for the costs of maintenance, rent, security, fuel, equipment, insurance, utilities, food, furnishings, supplies necessary for the operation of the emergency shelter, and, when no appropriate emergency shelter is available, for hotel or motel vouchers for homeless families or individuals? [24 CFR 576.102(a)(3); 24 CFR 576.500(k); 24 CFR 576.500(u)(2)]</p>	<table> <tr> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td><b>Yes</b></td> <td><b>No</b></td> <td><b>N/A</b></td> </tr> </table>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<b>Yes</b>	<b>No</b>	<b>N/A</b>
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<b>Yes</b>	<b>No</b>	<b>N/A</b>					
<p><b>Describe Basis for Conclusion:</b></p>							

**B. OTHER REQUIREMENTS FOR EMERGENCY SHELTERS**

15.

<p><b>Terminating Assistance:</b> If the recipient or its subrecipients terminated any participants from the program, did they:</p> <ul style="list-style-type: none"> <li>a. do so in accordance with a formal process established by the recipient or subrecipient that recognizes the rights of individuals affected; and</li> <li>b. examine all extenuating circumstances in determining when violations warrant termination so that a program participant's assistance is terminated only in the most severe cases?</li> </ul> <p>[24 CFR 576.402(a)]</p>	<table> <tr> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td><b>Yes</b></td> <td><b>No</b></td> <td><b>N/A</b></td> </tr> </table>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<b>Yes</b>	<b>No</b>	<b>N/A</b>
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<b>Yes</b>	<b>No</b>	<b>N/A</b>					
<p><b>Describe Basis for Conclusion:</b></p>							

16.

<p><b>Uniform Relocation Assistance (URA):</b> If ESG funds were used to provide relocation assistance for displaced persons, did those persons meet the definition of "displaced person" under 24 CFR 576.408(c)(2) and did the assistance consist only of costs authorized under 24 CFR 576.102(a)(4) and 24 CFR 576.408(c)(1)? [24 CFR 576.102(a)(4); 24 CFR 576.408(c)]</p>	<table> <tr> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td><b>Yes</b></td> <td><b>No</b></td> <td><b>N/A</b></td> </tr> </table>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<b>Yes</b>	<b>No</b>	<b>N/A</b>
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<b>Yes</b>	<b>No</b>	<b>N/A</b>					
<p><b>Describe Basis for Conclusion:</b></p>							

17.

<p><b>Minimum Period of Use (Renovation):</b> Are all buildings renovated with ESG funds being maintained as a shelter for homeless individuals and families for a period, starting from the date they were first occupied by a homeless individual or family after the completed renovation, of not less than:</p> <ul style="list-style-type: none"> <li>a. 10 years for major rehabilitation;</li> <li>b. 10 years for conversion;</li> <li>c. 3 years for renovation other than major rehabilitation or conversion?</li> </ul> <p>[24 CFR 576.102(c)(1)]</p>	<table> <tr> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td><b>Yes</b></td> <td><b>No</b></td> <td><b>N/A</b></td> </tr> </table>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<b>Yes</b>	<b>No</b>	<b>N/A</b>
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<b>Yes</b>	<b>No</b>	<b>N/A</b>					
<p><b>Describe Basis for Conclusion:</b></p>							

18.

<p><b>Minimum Period of Use (Essential Services/Shelter Operations):</b> Where the recipient or its subrecipient has used ESG funds under the Emergency Shelter component solely for essential services or shelter operations, has the recipient or subrecipient provided services or shelter to homeless individuals and families at least for the period during which the ESG funds are provided? [24 CFR 576.102(c)(2)]</p>	<table border="0"> <tr> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td><b>Yes</b></td> <td><b>No</b></td> <td><b>N/A</b></td> </tr> </table>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<b>Yes</b>	<b>No</b>	<b>N/A</b>
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<b>Yes</b>	<b>No</b>	<b>N/A</b>					
<p><b>Describe Basis for Conclusion:</b></p>							

19.

<p><b>Maintenance of Effort:</b> If the recipient or its subrecipient is a unit of general purpose local government, and ESG funds were used to replace local government funding for emergency shelter services, did HUD determine that the unit of general purpose local government was in a severe financial deficit? [24 CFR 576.500(l); 24 CFR 576.102(d)]</p>	<table border="0"> <tr> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td><b>Yes</b></td> <td><b>No</b></td> <td><b>N/A</b></td> </tr> </table>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<b>Yes</b>	<b>No</b>	<b>N/A</b>
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<b>Yes</b>	<b>No</b>	<b>N/A</b>					
<p><b>Describe Basis for Conclusion:</b></p>							

20.

<p><b>Involuntary Family Separation (Emergency Shelter):</b> Did the recipient or its subrecipients have policies and procedures in place to ensure that providers of emergency shelter that serve households with children under 18 do not deny admission to a family based on the age of any child under 18? [24 CFR 576.102(b)]</p>	<table border="0"> <tr> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td><b>Yes</b></td> <td><b>No</b></td> <td><b>N/A</b></td> </tr> </table>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<b>Yes</b>	<b>No</b>	<b>N/A</b>
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<b>Yes</b>	<b>No</b>	<b>N/A</b>					
<p><b>Describe Basis for Conclusion:</b></p>							

21.

<p><b>State or Local Safety and Sanitation Standards:</b> If ESG funds were used for shelter renovation (including major rehabilitation or conversion of a building to be used as an emergency shelter), does the shelter meet state or local government safety and sanitation standards (as applicable)? [24 CFR 576.403(b)]</p>	<table border="0"> <tr> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td><b>Yes</b></td> <td><b>No</b></td> <td><b>N/A</b></td> </tr> </table>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<b>Yes</b>	<b>No</b>	<b>N/A</b>
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<b>Yes</b>	<b>No</b>	<b>N/A</b>					
<p><b>Describe Basis for Conclusion:</b></p>							

22.

<p><b>Minimum ESG Habitability Standards:</b> If ESG funds were used for shelter operations or renovation, do the records of the recipient and its subrecipients reflect that the shelter met the minimum safety, sanitation, and privacy standards set forth at 24 CFR 576.403, including inspection reports required by 24 CFR 576.500(j)? [24 CFR 576.403(b); 24 CFR 576.500(j)]</p>	<table border="0"> <tr> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td><b>Yes</b></td> <td><b>No</b></td> <td><b>N/A</b></td> </tr> </table>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<b>Yes</b>	<b>No</b>	<b>N/A</b>
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<b>Yes</b>	<b>No</b>	<b>N/A</b>					
<p><b>Describe Basis for Conclusion:</b></p>							

23.

<p><b>Recordkeeping (Emergency Shelters):</b> Did the recipient or its subrecipients keep records of the emergency shelters assisted under the ESG program, including:</p> <ul style="list-style-type: none"> <li>a. the amounts and type of assistance, including essential services, provided to each emergency shelter;</li> <li>b. if applicable, documentation of the value of the building before the rehabilitation of an existing shelter or after the conversion of a building into an emergency shelter, and copies of the recorded deed or use restrictions?</li> </ul> <p>[24 CFR 576.500(k)]</p>	<table border="0"> <tr> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td><b>Yes</b></td> <td><b>No</b></td> <td><b>N/A</b></td> </tr> </table>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<b>Yes</b>	<b>No</b>	<b>N/A</b>
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<b>Yes</b>	<b>No</b>	<b>N/A</b>					
<p><b>Describe Basis for Conclusion:</b></p>							

24.

<p><b>Written Standards:</b> Were all activities carried out in compliance with the applicable written policies and procedures for admission, diversion, referral, and discharge by emergency shelters assisted under ESG, including standards regarding length of stay, if any, and safeguards to meet the safety and shelter needs of special populations, e.g., victims of domestic violence, dating violence, sexual assault, and stalking; and individuals and families who have the highest barriers to housing and are likely to be homeless the longest? [24 CFR 576.400(e)(1); 24 CFR 576.400(e)(2); 24 CFR 576.400(e)(3)(iii)]</p>	<table border="0"> <tr> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td><b>Yes</b></td> <td><b>No</b></td> <td><b>N/A</b></td> </tr> </table>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<b>Yes</b>	<b>No</b>	<b>N/A</b>
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<b>Yes</b>	<b>No</b>	<b>N/A</b>					
<p><b>Describe Basis for Conclusion:</b></p>							

25.

<p><b>Written Standards:</b> Were all activities carried out in compliance with the applicable written policies and procedures for assessing, prioritizing, and reassessing individuals' and families' needs for essential services related to emergency shelter? [24 CFR 576.400(e)(1), (2), and (3)(iv)]</p>	<table border="0"> <tr> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td><b>Yes</b></td> <td><b>No</b></td> <td><b>N/A</b></td> </tr> </table>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<b>Yes</b>	<b>No</b>	<b>N/A</b>
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<b>Yes</b>	<b>No</b>	<b>N/A</b>					
<p><b>Describe Basis for Conclusion:</b></p>							

26.

<p><b>Written Standards:</b> Were all activities carried out in compliance with the applicable written policies and procedures for coordination among emergency shelter providers, essential services providers, homelessness prevention, and rapid re-housing assistance providers; other homeless assistance providers; and mainstream service and housing providers? [24 CFR 576.400(e)(1); 24 CFR 576.400(e)(2); 24 CFR 576.400(e)(3)(v)]</p>	<table style="width: 100%; text-align: center;"> <tr> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td><b>Yes</b></td> <td><b>No</b></td> <td><b>N/A</b></td> </tr> </table>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<b>Yes</b>	<b>No</b>	<b>N/A</b>
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<p><b>Describe Basis for Conclusion:</b></p>							