2017 Program Review and Certification Standards
K. DCA Standards

New requirements are in red text and do not apply for the 2017 PR&C review. These requirements will be applicable in 2018.
Minor adjustments and clarifications and changes to Tiers are in green text. These changes are applicable for the 2017 PR&C review.
Blue text describes how the revised 2017 standards correlate with the 2016 standards.

Removed 1 standard

Standard K1	Guideline K1	Monitoring Method	Conclusion	Certifying Official*	Tier	Program Type
At least 95% of DCA applications filed by the agency are accurate and complete. Formerly standard K2.	☐ DCA client files demonstrate that the file is complete and accurate and do not require follow-up with the case manager.	☐ File Review: CSB monitored DCA files (no onsite review).	☐ Compliant ☐ Compliant with conditions ☐ Non-compliant ☐ N/A		1	All programs
Discussion and Basis for Conclusion						

Agency:
Review Date:

Standard K2	Guideline K2	Monitoring Method	Conclusion	Certifying Official*	Tier	Program Type
DCA funding is properly documented, and for ESG programs is documented in accordance with 24 CFR 576. Formerly standard K4.	☐ If applicable, DCA client files demonstrate compliance with current, applicable ESG regulations, as detailed in the CSB HEARTH Operating Policies and Procedures found in the Providers Section of www.csb.org, including all necessary documentation, proper understanding of the distinction between rental assistance and other types of services, and any necessary income re-assessments. ☐ Files for programs that use CSB funding should contain: check request, justification sheet, client signature form, signed lease and/or verification of prospective housing, Franklin County Auditor's website printout, W-9 or property management agreement, income calculation sheet, household budget, CSP shelter stay printout, legible copy of client's identification, and inspection form. ☐ Files for programs that use	☐ File Review: CSB reviewed client files ☐ Discussion: CSB discussed HEARTH / ESG regulations with staff.	☐ Compliant ☐ Compliant with conditions ☐ Non-compliant ☐ N/A		1	CSB

Agency:
Review Date:

	ESG funding should contain: check request, justification sheet, client signature form, signed lease **and/or verification of prospective housing**, rental assistance agreement, Franklin County Auditor's website printout, W-9 or property management agreement, income calculation sheet, household budget, staff certification of eligibility, CSP shelter stay printout, funding assistance determination form, and legible copy of client's identification, and inspection form.					
	☐ Files for programs that use ESG funding, after 90 days from receiving assistance, should contain, in addition to the preceding documentation, CSB-approved standardized self-declaration of income and verification of income forms.					
	☐ CSB should keep files for clients denied DCA requests, including a CSB-approved standardized funding / assistance application denial form.					

Agency:
Review Date:

	☐ Agency staff should include a standardized client file checklist to ensure proper documentation. ☐ If direct financial assistance is provided through federal funding (including ESG), the agency will be notified and the lease agreement must be executed prior to receiving the assistance, in accordance with federal funding guidelines. ☐ For ESG-funded programs, DCA funds may only be spent on behalf of program participants where there is a legal lease that includes the participant's name on the document.				

Discussion and Basis for Conclusion

Agency:
Review Date:

Standard K3	Guideline K3	Monitoring Method	Conclusion	Certifying Official*	Tier	Program Type
The agency will only make payable and disburse checks to a verified vendor (e.g., landlord, utility company) providing services. Formerly standard K5.	☐ Staff can confirm that under no circumstance are checks made payable or released to clients. ☐ **The agency should retain W9s for landlords and documentation from utility providers.** ☐ Only authorized employees of the agency are permitted to pick up checks issued by CSB. The agency must provide CSB with a list of employees authorized to pick up checks and such employees must be able and willing to provide picture identification, if requested, before receiving checks.	☐ <u>File Review</u>: CSB reviewed the financial assistance disbursement process, if applicable, **and ensured that documentation included landlord W9s and documentation from utility providers.** ☐ <u>File Review</u>: For the Job2Housing program, CSB reviewed complete documentation. ☐ <u>Discussion</u>: CSB discussed the check disbursement process with agency staff.	☐ Compliant ☐ Compliant with conditions ☐ Non-compliant ☐ N/A		1	All programs
Discussion and Basis for Conclusion						

Agency:
Review Date:

Standard K4	Guideline K4	Monitoring Method	Conclusion	Certifying Official*	Tier	Program Type
Agency has a quality assurance process to minimize the possibility of incomplete, inaccurate, and fraudulent applications. Formerly standard K1.	☐ Agency staff can provide agency policies and procedures regarding DCA application processing. ☐ Agency staff can describe the quality assurance process.	Self-certification	☐ Compliant ☐ Compliant with conditions ☐ Non-compliant ☐ N/A		3	All programs

* CSB staff signature for Tier 1 (annually) and Tier 2 (every 4 years)
* Agency staff signature for Tier 2 (when not reviewed by CSB) and Tier 3 (annually)

CSB reviews Tier 2 standards every 4 years. For years when CSB does not review Tier 2 standards, agency staff certifies compliance with both Tier 2 and Tier 3 standards in the 'Certifying Official' column.

Agency:
Review Date: