**3.3 NC ESG: HOUSING & CRITICAL NEEDS ASSESSMENT SUMMARY**

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| **Participant Name:**  |
| **HMIS/DV ID:** |
| **Case Manager Name:** |

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| --- | --- | --- | --- | --- | --- |
| **Initial Assessment Date:** |  | / |  | / |  |
| **Revised Assessment Date:** |  | / |  | / |  |
| **Revised Assessment Date:** |  | / |  | / |  |

**INSTRUCTIONS:**

Staff and participants should use this form to summarize and document participant information already obtained during intake, initial assessment, and ongoing assessments. Staff should complete this form, even if incomplete, before creating an initial Individualized Housing Stabilization Plan (IHSP).

This form may be updated when significant new information is obtained during regular case management contacts (which should occur once per month at minimum) OR staff may document new information in case notes and/or in the **3.8A NC ESG Monthly Update** and maintain such notes in the case file. *The case notes and/or the* ***3.8A NC ESG Monthly Update*** *are still required.* When a revised assessment Summary is completed, staff and participants may choose to only update sections with new or updated information or an entirely new Summary form may be completed.

Information summarized below should be used as the basis for determining the type, amount and duration of rehousing program assistance needed, from your program or another source, to secure and stabilize in housing and as a basis for the **Individualized Housing Stabilization Plan** (IHSP) (NC ESG 3.4).

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| **INCOME/EXPENSES/OTHER RESOURCES** |
| **Current Total Household Monthly Income: $\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_****Current Total Household Monthly Expenses: $\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_** | **Current Amount Available for Monthly Rent/Utilities:** **$\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_** |
| ***IF CURRENTLY RENTING:* Percent of income spent on housing (rent and utilities)** *(check one)***□**30% or less **□**31-50% **□**51%-70% **□**71% or more **□**Not Assessed |
| **OTHER INCOME-RELATED:** | **Yes** | **No** | **Unknown** | **Notes** |
| Has ongoing, permanent housing subsidy (e.g., Section 8)? |  |  |  |  |
| Has steady, full-time employment? |  |  |  |  |
| Receives TANF, SSI, SSDI, other disability or cash benefits they qualify for? |  |  |  |  |
| Receives SNAP/Food Stamps (if qualified)? |  |  |  |  |
| Has high school diploma or GED? |  |  |  |  |
| Sufficient English Proficiency and/or Literacy? |  |  |  |  |
| Has reliable transportation? |  |  |  |  |
| Has reliable/affordable/available childcare? |  |  |  |  |
| Has health insurance?  |  |  |  |  |

**NOTES:**

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| **TENANT SCREENING BARRIERS** |
| **POTENTIAL IMPACT:** | ***Low or No Impact on Tenant Screening*** | ***Moderate Impact on Tenant Screening*** | ***Major Impact on Tenant Screening*** | ***Unknown Impact on Tenant Screening*** |
| **Income:** | **□** Current monthly income is more than 3 times higher than expected monthly rent  | **□**  Current monthly income is at least 2 but not more than 3 times higher than expected monthly rent  | **□**  Current monthly income is les than 2 times expected monthly rent (including -0- current income)  | **□** Not assessed |
| **Rental History:** | **□** 0 evictions  | **□** 1 prior eviction | **□** Multiple prior evictions | □ No rental history or not assessed  |
| **□** Good prior landlord references | **□** 1 poor prior landlord reference | **□** Multiple poor landlord references  | **□** No rental history or not assessed  |
| **□** Familiar with rental requirements/ expectations | **□** Some familiarity with rental requirements/ expectations | **□** No familiarity despite prior rental experience | **□** Not assessed |
| **Credit History:** | **□** Good credit history/score | **□** Fair credit history/score | **□** Poor credit history/score | **□** Credit not established or not assessed |
| **Arrears:** | **□** No past rent and/or utility arrears | **□** Small to moderate amount of rent and/or utility arrears | **□** Large amount of rent and/or utility arrears; may include balance larger than is eligible for community resources  | **□** Not assessed |
| **Criminal Record:** | **□** No prior felonies or serious misdemeanors  | **□** 1 prior felony or serious misdemeanor | **□** Multiple prior felonies and/or serious misdemeanors | **□** Not assessed  |

**NOTES:**

| **HOUSING SEARCH AND/OR RETENTION BARRIERS** |
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| **POTENTIAL IMPACT:** | ***Low or No Impact on Housing Search/ Retention*** | ***Moderate Impact on Housing Search/ Retention*** | ***Major Impact on*** ***Housing Search/ Retention*** | ***Unknown Impact on Housing Search/ Retention*** |
| **Personal Support Network:[[1]](#footnote-1)** | **□** Family, friend, and/or other support network available to help with housing needs | **□** Minimal family, friend, and/or other support network available to help with housing needs | **□** No family, friend, and/or other support network available to help with housing needs**□** Family, friends, other connections have caused housing issues in the past | **□** Not assessed  |
| **Community Supports:** | **□** Familiar with and knows how to access community resources that can help with housing needs | **□** Some knowledge of community resources that can help with housing needs  | **□** Limited to no knowledge of community resources that can help with housing needs | **□** Not assessed  |
| **Physical Health:** | **□** No physical health care needs that impact housing search/retention | **□** Physical health care issues may impact housing search/retention (based on past or current experience)  | **□** Physical health care issues will likely significantly impact housing search/retention (based on past or current experience) | **□** Not assessed |
| **Mental Health:** | **□** No mental health needs that impact housing search/retention | **□** Mental health issues may impact housing search/retention (based on past or current experience) | **□** Mental health issues will likely significantly impact housing search/retention (based on past or current experience) | **□** Not assessed |
| **Substance Use (Behavioral Health):** | **□** No behavioral health care needs that impact housing search/retention | **□** Behavioral health care/substance use issues may impact housing search/retention (based on past or current experience) | **□** Behavioral health care/substance use issues will likely significantly impact housing search/retention (based on past or current experience) | **□** Not assessed |
| **Family Relationships:** | **□** No current family relationship issues that impact housing search/retention | **□** Family relationship issues may impact housing search/retention (based on past or current experience) | **□** Family relationship issues will likely significantly impact housing search/retention (based on past or current experience) | **□** Not assessed |

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| **HOUSING SEARCH AND/OR RETENTION BARRIERS (continued)** |
| **POTENTIAL IMPACT:** | ***Low or No Impact on Housing Search/ Retention*** | ***Moderate Impact on Housing Search/ Retention*** | ***Major Impact on*** ***Housing Search/ Retention*** | ***Unknown Impact on Housing Search/ Retention*** |
| **Domestic Violence (DV)/ Intimate Partner Violence (IPV):**  | **□**  No current or past experience with DV/IPV that impact housing search/ retention**□** Current or past DV/IPV, safety plan in place and no impact on housing search/ retention | **□**  Currently experiencing DV/IPV that may impact housing search/retention (based on past or current experience) | **□**  Currently fleeing or attempting to flee DV/IPV; will likely significantly impact housing search/retention (based on past or current experience) | **□** Not assessed |
| **Neighbor Relationships:** | **□**  No current issues with neighbors that impact housing search/retention | **□** Neighbor relation issues may impact housing search/retention (based on past or current experience) | **□** Neighbor relation issues will likely significantly impact housing search/retention (based on past or current experience) | **□** Not assessed |
| **Knowledge of Landlord/Tenant Rights and Responsibilities:**  | **□**  Very knowledgeable of rights/responsibilities as a tenant  | **□**  Some knowledge of rights/responsibilities as a tenant  | **□**  Limited to no knowledge of rights/responsibilities as a tenant | **□** Not assessed  |

**NOTES:**

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| **HOUSING REQUIREMENTS AND PREFERENCES**  |
| **Location, in order of preference: Minimum Unit Size:****(1) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ □ Studio****(2) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ □ One bedroom****(3) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ □ Two bedrooms****(4) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ □ Three bedrooms****(5) \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ □ Other:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_** |
| **OTHER HOUSING AND LOCATION NEEDS/PREFERENCES:**  | **Yes** | **No** | **Unknown** | **Notes** |
| Close to public transportation |  |  |  |  |
| Close to childcare provider(s) |  |  |  |  |
| Close to specific school(s), college, and/or training/education provider (identify) |  |  |  |  |
| Close to clinic/medical facility/treatment facility (identify) |  |  |  |  |
| Close to faith/religious organization, church, mosque, synagogue, etc. |  |  |  |  |
| Close to playground, park, and/or greenspace |  |  |  |  |
| Disability or other site/building/unit accommodation(s) |  |  |  |  |
| Accommodates pet, service/support animal |  |  |  |  |
| Other key preferences |  |  |  |  |

**NOTES:**

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| **NON-HOUSING CRITICAL SERVICE NEEDS** |
| **REHOUSING PROGRAM SUPPORT NEEDED/DESIRED?** | **Yes** | **No** | **Unknown** | **Notes** |
| Food and/or daily nutrition needs |  |  |  |  |
| Clothing |  |  |  |  |
| Household furnishings |  |  |  |  |
| Household supplies (e.g., cleaning supplies, paper products) |  |  |  |  |
| Physical healthcare needs |  |  |  |  |
| Mental and/or behavioral healthcare needs |  |  |  |  |
| Child-related needs, including education and child welfare-related needs |  |  |  |  |
| Other (identify): |  |  |  |  |
| Other (identify): |  |  |  |  |

**NOTES:**

## **SERVICES AND FINANCIAL ASSISTANCE GUIDANCE**

The following matrix may be used as a guide to determine the type, amount, frequency, and duration of assistance based on participant needs and preferences summarized above. Staff and participants should review the chart together and consider participant needs, preferences, and what assistance might be most helpful – and available.

Since participant needs often change over time, participants and staff should re-examine needs, preferences, and help needed frequently, including during minimum monthly contacts (or more frequent contact) to ensure flexible, timely, and individualized assistance. This in turn helps rehousing programs stretch limited resources to assist as many people experiencing a housing crisis as possible.

**Note: The amount and duration of assistance available may be limited based on program funding or capacity.**

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| **SERVICES AND FINANCIAL ASSISTANCE MATRIX** |
| **BARRIERS & SERVICE NEEDS** **(Check one based on current information):** | * **LOW**
 | * **MODERATE**
 | * **HIGH**
 |
| **Initial Housing Search/ Stabilization** (When needing to secure new housing or stabilize in current housing) | Participant has only low or no tenant screening and/or housing search barriers. Basic housing initial search/stabilization assistance may include (as needed and desired):* Immediate housing problem-solving assistance to resolve any current issues causing potential housing loss (if currently housed and at-risk)
* Housing information and referral to potential landlords (if needing new housing)
* Information and referral to ongoing housing subsidy and/or subsidized rental units
* Information about landlord-tenant rights and responsibilities and fair housing laws
* Assistance with completing rental housing applications
* Assistance finding/gathering needed documentation, like birth certificates and income verification
* Assistance identifying opportunities to increase income and reduce expenses, including linking to public assistance benefits
* Regular (e.g., weekly) check-ins with participant on housing search
 | Participant has one or more moderate tenant screening and/or housing search barriers. In addition to basic level of assistance, housing initial search/stabilization assistance may include (as needed and desired):* Advocacy with potential landlords, including assurances about working with participant to resolve any concerns
* Use of financial incentives with landlords
* Support to identify friends, family, and/or other personal support system resources
* Information, referral, and advocacy to access other community resources to address barriers (e.g., legal assistance, transportation assistance)
* Active support to increase income and reduce expenses, including direct assistance to apply for public assistance benefits
 | Participant has one or more major tenant screening and/or housing search barriers. In addition to basic and moderate levels of assistance, housing initial search/stabilization assistance may include (as needed and desired):* Advocacy with potential landlords, including assurances about working with participant to resolve any concerns
* Up front commitment with potential landlord to provide rental assistance for multiple months
 |
| **BARRIERS & SERVICE NEEDS** **(Check one based on current information):** | * **LOW**
 | * **MODERATE**
 | * **HIGH**
 |
| **Housing Retention** (After new housing is secured or current housing is initially stabilized) | Participant has only low or no housing retention barriers. Basic housing retention assistance may include (as needed and desired):* Regular (e.g., bi-weekly, monthly) check-ins with participant on housing stability, including ability to pay rent/utilities for upcoming month
* As needed housing problem-solving assistance to resolve any issues that might cause housing loss
* Creation of an initial monthly budget to identify financial assistance needs and when Rehousing program assistance may no longer be needed
* Review of new lease with participant
* Orientation to new neighborhood and community, including where services and free/lost cost good

**LANDLORD SUPPORTS:*** Timely payment of rent and security deposit assistance
 | Participant has one or more moderate housing retention barriers. In addition to basic level of assistance, housing retention assistance may include (as needed and desired):* More regular check-ins, including home visits (e.g., weekly), if needed and safe
* Periodic check-in with landlord to identify any concerns
* Regular review and updating of monthly budget while enrolled
* Active support to pursue opportunities to increase income and reduce expenses, including accessing employment-related services and supports
* Active coordination with other service providers involved with the household

**LANDLORD SUPPORTS:*** Timely and responsive problem-solving to resolve concerns
 | Participant has one or more major housing retention barriers. In addition to basic and moderate levels of assistance, housing retention assistance may include (as needed and desired):* Frequent check-ins, including home visits (e.g., twice per week), if needed and safe
* Creation of an eviction and housing loss prevention plan with details on how to identify and avoid or address issues that threaten housing retention
* Referrals to other permanent housing with ongoing services, including permanent supportive housing

**LANDLORD SUPPORTS:*** Timely and responsive problem-solving to resolve concerns
 |
| **BARRIERS & SERVICE NEEDS** **(Check one based on current information):** | * **LOW**
 | * **MODERATE**
 | * **HIGH**
 |
| **Financial Assistance** | Participant has sufficient income/resources for ongoing housing costs, even if they have high housing cost burden, and may only need one-time help for initial housing costs (first month rent, security deposit, utility deposit, etc.). Basic financial assistance may include (as needed and desired):* One-time assistance with first month rent, security deposit, utility deposits, and other allowable, one-time financial assistance
* Additional 1-2 months of rent assistance, as needed based monthly determination, until able to sustain
 | Participant has insufficient income/resources for housing costs in the near future. In addition to basic financial assistance, financial assistance may include (as needed and desired):* Additional months of rent assistance, as needed based monthly determination, until able to sustain independently or with other rent subsidy
 | Participant has insufficient income/resources for housing costs in the foreseeable future. In addition to basic financial assistance, financial assistance may include (as needed and desired):* Additional months of rent assistance, as needed based monthly determination, until able to sustain independently or with other rent subsidy – up to the maximum allowable by program funding
 |
| **BARRIERS & SERVICE NEEDS** **(Check one based on current information):** | * **LOW**
 | * **MODERATE**
 | * **HIGH**
 |
| **Non-Housing Service Needs** | Participant has no or few other critical service needs. Basic assistance may include (as needed and desired):* Information, referral and active support to access community resources and services, such as mental health and substance use treatment, health insurance, job training, transportation assistance, senior services, consumer credit counseling, childcare and childcare subsidy, Veteran resources and benefits, youth mentoring, afterschool programs, etc.
* Orientation to community information and referral resources (e.g., 211)
 | Participant has one or more critical service needs requiring moderate support. In addition to basic assistance, assistance may include (as needed and desired):* Regular check-ins, including home visits (e.g., weekly), if needed and safe
* Active problem-solving conversation and guidance
* Active support to access other community resources and services needed to address need(s), including making and getting to appointments, gathering needed documentation, etc.
* Active assistance to coordinate other services and reduce any duplication or barrier
 | Participant has one or more critical service needs requiring significant support. In addition to basic assistance, assistance may include (as needed and desired):* More regular check-ins, including home visits (e.g., weekly), if needed and safe
* Active support to access and transition to other ongoing care coordination and case management assistance
* Other assistance directly by program, as available
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**NOTES:**

**Participant Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Participant Phone/Email:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Case Manager Signature: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ Date: \_\_\_\_\_\_\_\_\_\_\_\_\_\_**

**Case Manager Phone/Email:\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_**

1. Note that while a participant may have personal supports available to help with housing needs, to be eligible for ESG or ESG-CV rehousing assistance participants must not have sufficient resources or support networks immediately available to prevent them from becoming literally homeless or to regain safe, stable housing. [↑](#footnote-ref-1)