

# ESG-HP Client File Checklist

Client Name \_\_\_\_\_ Program \_\_\_\_\_

Entry Date \_\_\_\_\_ Exit Date \_\_\_\_\_ Case Manager Initials \_\_\_\_\_

## **HOMELESSNESS PREVENTION**

Funds may be used to provide housing relocation and stabilization services and short- and/or medium-term rental assistance necessary to prevent an individual or family from moving into an emergency shelter. Homelessness prevention must be provided in accordance with the housing relocation and stabilization services requirements in § 576.105 and the short-term and medium-term rental assistance requirements in § 576.106. *In general, the client file must demonstrate a) eligibility; b) types, amounts, and duration of service; and c) that program requirements were met.*

1. \_\_\_\_\_ **Intake form/Initial Assessment.** (24 CFR 576.401(a))
2. \_\_\_\_\_ **Documentation** of an eligible **definition of homelessness** at program entry. If there is no source/third-party documentation of homeless status, certification from the agency that efforts were made to obtain it. (24 CFR 576.500(b/c))
  - At-Risk-of-Homelessness
  - Imminent risk of homelessness (category 2 homeless)
  - Homeless under other federal statutes (category 3 homeless)
  - Fleeing/attempting to flee domestic violence (category 4 homeless)
3. \_\_\_\_\_ **Income determination form** establishing income eligibility at program entry along with **corresponding source documentation.** In the absence of source/third-party verification there must be at least certification from the client.(24 CFR 576.401)
  - ESG income limit: 30% CMI
4. \_\_\_\_\_ Record of **services provided** (24 CFR 576.105 & 106, 576.500(l))

<u>Financial Assistance</u> <ul style="list-style-type: none"><li><input type="checkbox"/> Security deposit</li><li><input type="checkbox"/> Rental application fees</li><li><input type="checkbox"/> Last month's rent</li><li><input type="checkbox"/> Utility deposits/payments</li><li><input type="checkbox"/> Moving costs</li></ul>	<u>Rental Assistance</u> <ul style="list-style-type: none"><li><input type="checkbox"/> Rental assistance</li><li><input type="checkbox"/> Rental arrears</li></ul>	<u>Stabilization Services</u> <ul style="list-style-type: none"><li><input type="checkbox"/> Housing search and placement</li><li><input type="checkbox"/> Housing stability case management</li><li><input type="checkbox"/> Mediation</li><li><input type="checkbox"/> Legal services</li><li><input type="checkbox"/> Credit repair</li></ul>
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5. \_\_\_\_\_ **Termination procedure** and any correspondence related to a termination proceeding, if applicable. (24 CFR 576.500(f3)) (not required for single-day services)
6. \_\_\_\_\_ Demonstration of **referral and connection** to homeless and mainstream services. (24 CFR 576.401(d))
7. \_\_\_\_\_ Documentation of **case management meetings** at least monthly. (24 CFR 576.401(ei))
8. \_\_\_\_\_ Record of a **Housing Stability Plan** to assist the program participant to retain permanent housing after the assistance ends. (24 CFR 576.401(eii)) (not required for mediation, legal services, or credit repair)
9. \_\_\_\_\_ Certification of the client's program **entry into HMIS** (or comparable database). (24 CFR 576.500(n))
10. \_\_\_\_\_ If the client receives more than three months of assistance, **evidence of continued eligibility** which includes re-evaluation of income and other resources and support networks. (24 CFR 576.401(b))
  - ESG income limit: 30% CMI

**If rental assistance is provided, the following requirements apply:**

11. \_\_\_\_\_ A copy of the **lease agreement** along with a **VAWA addendum**. *(24 CFR 576.106(g), 24 CFR 576.500(h))*
12. \_\_\_\_\_ Documentation of **VAWA Notification**, including a notice of occupancy rights (HUD form 5380) and a certification form to document an incident (HUD form 5382). *(24 CFR 576.409(c))*
13. \_\_\_\_\_ Documentation of **amount and type of financial assistance** provided to the client. *(24 CFR 576.500(f1)&(u))*
14. \_\_\_\_\_ Documentation of **payments made to landlords**. *(24 CFR 576.500(h))*
15. \_\_\_\_\_ Documentation of unit compliance with **Rent Reasonableness**. *(24 CFR 982.507)*
16. \_\_\_\_\_ Documentation of unit compliance with **Fair Market Rent** *(ESG only)*. *(24 CFR 982.503)*
17. \_\_\_\_\_ Minimum **Habitability Standards** checklist. *(24 CFR 576.403)*
18. \_\_\_\_\_ **Lead Paint Disclosure Form**, if the unit was built before 1978 and a child under 6 years of age or a pregnant woman is/will be in residence. *(24 CFR 576.403(a))*
19. \_\_\_\_\_ **Rental Assistance Agreement** between agency and landlord outlining the terms of the assistance. *(24 CFR 576.106(e), 24 CFR 576.500(h), 24 CFR 576.409(a))*

*revised 12/27/23*