

ESG Client File Checklist / EMERGENCY SHELTER



Client Name _____ HMIS / Comparable Database # _____

Entry Date _____ Exit Date _____

1. _____ Documentation of program **enrollment in HMIS** (or comparable database) 24 CFR 576.400(f)
Provide a screenshot of the client's enrollment in the program, with entry and exit dates.

2. _____ Evidence of **Centralized or Coordinated Intake Form/Initial Assessment** printed and included in file identifying client's most pressing needs. *Must be dated within 1 week of entry date. 24 CFR 576.401(a) & 24 CFR 576.500(g)*
All must be explained/provided to client and client signed off acknowledging they were given this information.
 - ESG Emergency Shelter Rules
 - Release of Information & Personal Privacy Protection Policy
 - Rights to Fair Housing
 - Termination & Grievance Policy
 - "Protect Your Family from Lead in Your Home" pamphlet for shelters built before 1978 and housing children under 6 and/or pregnant women

3. _____ **Self-Certification** of an eligible **definition of homelessness** at program entry.
 - Literally Homeless (Paragraph 1 homeless)
 - Imminent-Risk-of-Homelessness (Category 2 homeless)
 - Homeless under other federal statues (Category 3 homeless)
 - Fleeing or attempting to flee domestic violence (Category 4 homeless)
 - At risk of Homelessness

4. _____ Record of **services provided** while in shelter program 24 CFR 576.102(a)(1), 576.500(l)
Essential Services

<input type="checkbox"/> Shelter stay	<input type="checkbox"/> Employment assistance/job training
<input type="checkbox"/> Motel Voucher	<input type="checkbox"/> Outpatient health services
<input type="checkbox"/> Case management	<input type="checkbox"/> Legal services
<input type="checkbox"/> Transportation	<input type="checkbox"/> Life skills training
<input type="checkbox"/> Childcare	<input type="checkbox"/> Mental health services
<input type="checkbox"/> Education services	<input type="checkbox"/> Substance abuse treatment services

5. _____ Documentation of **referral and connection** to homeless and mainstream services. 24 CFR 576.401(d)
Must show that the referral/connection(s) occurred while the client was in the program.

6. _____ Documentation of provision of **Termination Procedure** 24 CFR 576.500(f)(3) & 24 CFR 576.402
Include reasons for termination as well as the procedure for if/when a client is terminated form the shelter program
Was the client terminated from the program? Yes No
If yes, provide documentation related to the termination proceeding.

Were any **Essential Services** provided to the client? *This includes Essential Services listed above that were provided specific to this participant and would not include items or services purchased for the shelter as a part of services costs.*

- Yes, with ESG Yes, without ESG No Essential Services were provided

If ESG was used to provide Essential Services, the following requirements apply:

1. _____ **Payment documentation of any and all Essential Services provided with supporting documentation.**
 - Payment documentation* includes invoices and proof of payments for all services and/or hotel costs provided to the participant. Minimum required would be a receipt.
 - Supporting documentation* may include documentation that lawyers used are licensed and in good standing with the bar association, invoice from credit repair class, budgeting class, or mediation services.
 - ESG Financial Tracking Form* can be used to organize expenses. *This optional form is found on THDA's website.*

2. _____ **If hotel/motel stay was provided,** include documentation that no other appropriate emergency shelter was available for the participant. Case manager due diligence is documented with a case note in finding other appropriate shelter.

Notes