



ESG-CV Client File Checklist

Client Name _____ Program _____

Entry Date _____ Exit Date _____ Case Manager Initials _____

HOMELESSNESS PREVENTION

ESG-CV 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. *In general, the client file must demonstrate a) eligibility; b) types, amounts, and duration of service; and c) that program requirements were met.*

1. _____ Certification of the client’s program **enrollment in HMIS** (or comparable database). (24 CFR 576.500(n))
Provide a screenshot of the client’s enrollment in the program, with entry and exit dates.

2. _____ **Intake form/Initial Assessment.** (24 CFR 576.401(a))
 - Written grievance policy
 - Lead based paint disclosure
 - Policies and Procedures
 - Right to Fair Housing
 - Releases of Information between Recipient and Other Entities on behalf of participant

3. _____ **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)

4. _____ **Income determination form** establishing income at or below 50% AMI 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)

5. _____ Record of **services provided** (24 CFR 576.105 & 106, 576.500(l))

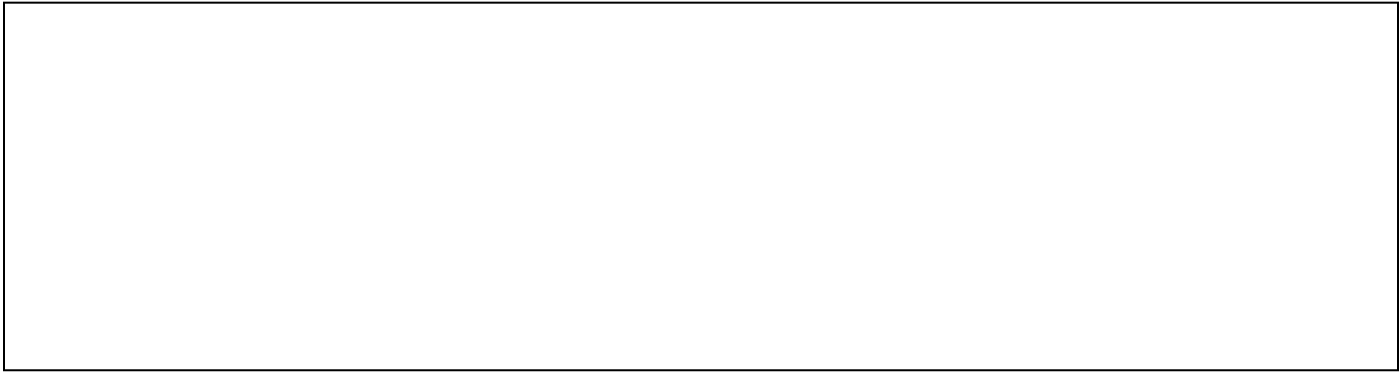
<u>Financial Assistance</u> <input type="checkbox"/> Security deposit <input type="checkbox"/> Rental application fees <input type="checkbox"/> Last month’s rent <input type="checkbox"/> Utility deposits/payments <input type="checkbox"/> Moving costs	<u>Rental Assistance</u> <input type="checkbox"/> Rental assistance <input type="checkbox"/> Rental arrears	<u>Stabilization Services</u> <input type="checkbox"/> Housing search and placement <input type="checkbox"/> Housing stability case management <input type="checkbox"/> Mediation <input type="checkbox"/> Legal services <input type="checkbox"/> Credit repair
<u>ESG-CV Unique Activities</u>		
<input type="checkbox"/> Hotel/motel costs <input type="checkbox"/> Landlord incentive <input type="checkbox"/> Vaccine incentive <input type="checkbox"/> Renters Insurance <input type="checkbox"/> Cell phone/internet <input type="checkbox"/> Personal protective equipment <input type="checkbox"/> Furniture/household furnishings <input type="checkbox"/> Transportation	<input type="checkbox"/> Childcare <input type="checkbox"/> Education services <input type="checkbox"/> Employment assistance/job training <input type="checkbox"/> Outpatient health services <input type="checkbox"/> Life skills training <input type="checkbox"/> Mental health services <input type="checkbox"/> Substance abuse treatment services	

6. _____ Demonstration of **referral and connection** to homeless and mainstream services. (24 CFR 576.401(d))
7. _____ Documentation of **case management meetings**. (24 CFR 576.401(ei))
8. _____ Documentation of **financial assistance** provided, along with supporting documentation (24 CFR 576.500(f1)&(u))
Supporting documentation may include lease agreements, utility bills, invoices for moving expenses, or charges for rental application fees. Include payment documentation (e.g. fiscal ledger, check stubs, etc.) that contains payment dates, payment amounts, and types of expenses.
9. _____ If the client receives more than six months of assistance, **evidence of continued eligibility** which includes re-evaluation of income (50% CMI or below) and other resources and support networks. (24 CFR 576.401(b))
10. _____ 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)
11. _____ **Termination procedure** and any correspondence related to a termination proceeding, if applicable. (24 CFR 576.500(f3)) (not required for single-day services) *Include possible reasons for termination, the procedure for if/when a client is terminated from the program, and the appeal process.*
Was the client terminated from the program? Yes No
If yes, provide documentation related to the termination proceeding.

If rental assistance is provided, the following requirements apply:

12. _____ A copy of the **lease or sublease agreement** along with a **VAWA addendum**. (24 CFR 576.106(g), 24 CFR 576.500(h))
13. _____ 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))
14. _____ Documentation of **amount and type of financial assistance** provided to the client. (24 CFR 576.500(f1)&(u))
15. _____ Documentation of **payments made to landlords**. (24 CFR 576.500(h))
16. _____ Documentation of unit compliance with **Rent Reasonableness**. (24 CFR 982.507)
17. _____ Minimum **Habitability Standards** checklist *OR* Housing Quality 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))

Notes



revised 01/06/22