



# ESG Client File Checklist / HOMELESSNESS PREVENTION

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

Entry Date \_\_\_\_\_ Move-in Date \_\_\_\_\_ Exit Date \_\_\_\_\_

1. \_\_\_\_\_ Documentation of 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** identifying client's most pressing needs (24 CFR 576.401(a))  
*Must be dated within 30 days of entry date.*
3. \_\_\_\_\_ Documentation of an eligible **definition of homelessness** at program entry  
*If there is no source/third-party documentation of homeless status, there must be 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 statues (category 3 homeless)
  - Fleeing/attempting to flee domestic violence (category 4 homeless)
4. \_\_\_\_\_ Documentation of **income eligibility** at program entry, including an income calculation form and income source documentation (24 CFR 576.401)
  - ESG income limit: 30% AMI
5. \_\_\_\_\_ Record of **services provided** while in prevention program (24 CFR 576.105 & 106, 576.500(l))
 

<u>Financial Assistance</u>	<u>Rental Assistance</u>	<u>Stabilization Services</u>
<input type="checkbox"/> Rental application fees	<input type="checkbox"/> Rental assistance	<input type="checkbox"/> Housing search and placement
<input type="checkbox"/> Security deposit	<input type="checkbox"/> Rental arrears	<input type="checkbox"/> Housing stability case management
<input type="checkbox"/> Last month's rent		<input type="checkbox"/> Mediation
<input type="checkbox"/> Utility deposits/payments		<input type="checkbox"/> Legal services
<input type="checkbox"/> Moving costs		<input type="checkbox"/> Credit repair
6. \_\_\_\_\_ 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.*
7. \_\_\_\_\_ Documentation of **case management meetings**, at least monthly (24 CFR 576.401(ei))
8. \_\_\_\_\_ 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 (*include income calculation form and income source documentation; time starts at program entry*) (24 CFR 576.401(b))
  - ESG income limit: 30% CMI
  - HPP income limit: 80% CMI (*if not used as match to ESG*)
9. \_\_\_\_\_ 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.*
10. \_\_\_\_\_ Record of a **Housing Stability Plan** to retain permanent housing after assistance ends (24 CFR 576.401(eii))  
*(Not required for mediation, legal services, or credit repair)*

11. \_\_\_\_\_ Documentation of provision of **Termination Procedure** (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.*

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**Was any rental assistance provided to the client?** (does not include financial assistance; only rent and rent arrears)

- Yes, with ESG       Yes, without ESG funds       No rental assistance was provided

**If ESG was used to provide rental assistance, the following requirements apply:**

12. \_\_\_\_\_ A copy of the **lease agreement** covering the dates of rental assistance provided (24 CFR 576.106(g))
13. \_\_\_\_\_ A **VAWA lease addendum** (HUD form 91067). (24 CFR 576.500(h))  
- *A separate form is not required if the information is provided in the original lease agreement*
14. \_\_\_\_\_ Documentation of provision of **VAWA Protections** (24 CFR 576.409(c))  
- **Notice of Occupancy Rights (HUD form 5380)** must be provided when rental assistance begins AND when client is notified of termination of rental assistance and/or notified of eviction  
- **Certification form to document an incident (HUD form 5382)** must be provided when client is notified of termination of rental assistance and/or notified of eviction
15. \_\_\_\_\_ Documentation of unit compliance with **Rent Reasonableness** (24 CFR 982.507)  
 N/A: client only received assistance with rental arrears
16. \_\_\_\_\_ Documentation of unit compliance with **Fair Market Rent (ESG only)** (24 CFR 982.503)  
 N/A: no ESG funds were used  
 N/A: client only received assistance with rental arrears  
 N/A: used HUD-approved FMR waiver for the area \_\_\_\_\_
17. \_\_\_\_\_ Minimum **Habitability Standards** checklist (24 CFR 576.403)
18. \_\_\_\_\_ **Lead Paint Disclosure Form**, including provision of Lead Safety Pamphlet (24 CFR 576.403(a))  
 N/A: unit built after 1978  
 N/A: no child under 6 or pregnant woman was/will be in residence
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))  
*See ESG Program Manual for required elements.*
20. \_\_\_\_\_ Documentation of **rental assistance payments**, along with supporting documentation (24 CFR 576.500(h))  
*Include payment documentation (e.g. fiscal ledger, check stubs, etc.) that contains payment dates, payment amounts, types of expenses, and dates of occupancy.*

**Notes**