

ESG Monitoring Client File Checklist:

Explanation of Required Documentation

The following describes materials that must be included in each client/household file:

PRE-SCREENING ASSESSMENT

Evidence of Initial Consultation

Documentation of the first contact with the project participant must be included in each client household file including date of contact and staff name with whom the initial consultation occurred.

Documentation of Coordinated Entry Screening

The client file must include evidence that the client was referred to the project through the Coordinated Entry System. Such documentation should be signed off by a representative of the coordinated entry system.

HMIS Intake Printout

All documentation providing evidence of screening documentation shall be included in the client file.

HMIS Release of Information (ROI) and Confidentiality Info Form

An *HMIS Release of Information* form must be signed by each household member aged 18 or older and a copy of each signed release must be kept in the household file.

Identification Documentation

There must be identification documentation for all household members whether receiving case management and/or financial assistance. Documentation must be a copy of one of the following:

- Driver's License or State ID
- Social Security Card
- Medicaid Card (as a last resort *for children only*)
- Birth Certificate
- Passport

ELIGIBILITY DOCUMENTATION

FORM ESG 1 – Homeless Certification (*for Emergency Shelter, Re-Housing Assistance and Prevention*)

The Homeless Certification indicating the current living situation must be completed and appropriate documentation provided as indicated on the form. (*Category 1 is eligible for emergency shelter, re-housing assistance; Categories 2 & 4 are considered homeless but receive prevention assistance*).

Documentation of Proof of Homelessness

In addition to the Homeless Certification, valid proof of homelessness must also be provided and kept in the client file from one of the following sources:

- Agency: This documentation should contain the letterhead of the assisting agency and the dates of service.
- Current Household: If the person's family is evicting him/her, a statement describing the reason for eviction should be signed by the head of household and dated. Every effort must be made to confirm that these circumstances are true, and written verification must be on file describing the efforts and attesting to their validity. The verification should be signed and dated.

FORM ESG 2 – At Risk of Homelessness Certification (for Prevention Assistance)

The At Risk of Homelessness Certification must be completed indicating the current living situation, and providing the appropriate documentation as indicated on the form. Participants at risk of homelessness are eligible for prevention assistance.

Documentation of Proof of At Risk of Homelessness

Valid proof of need can be provided by documents such as a court-ordered eviction notice and/or notice of utility shutoff.

FORM ESG 3 – Chronically Homeless Certification

The Chronically Homeless Certification form must be completed for each household.

FORM ESG 4 – Disability Certification

The Disability Certification must be completed to prioritize those receiving ESG rapid re-housing assistance.

FORM ESG 5 – Self-Certification

This form must be completed *if* required verifications/documents cannot be provided and self-certification is the only way to verify information to determine program eligibility.

FORM ESG 6 – Staff Affidavit of Eligibility

ESG staff and supervisor must sign the Staff Affidavit certifying the person/household meets all requirements to receive ESG assistance and all of the information provided is true and complete to the best of their knowledge. It further certifies that the person(s)/household receiving assistance has not resulted, nor will result, in a personal or financial interest or benefit for Agency Staff or for anyone with whom they have family or business ties.

INCOME DOCUMENTATION

This section is applicable to Homeless Prevention/Rapid Re-Housing (HP/RRH) projects, only. All sources of household income (including zero-income households) for each household member age 18 or older, must be verified and documented at intake and every three (3) months to determine program eligibility. To be eligible for assistance, gross household income must be below 30% area median income (AMI). For earned income, household must provide two (2) pay stubs, dated within 60 days of receiving assistance.

FORM ESG 7 – Verification Tracking of Income

Income must be verified for all household members age 18 or older. Agencies must record all attempts (*phone logs, email correspondence, copies of certified letters etc.*) to obtain required verifications in the order specified on the form. Staff must provide an explanation on the form if utilizing verification out of the hierarchy sequence. Household member(s) age 18 or older with zero income must complete Step 5 of the form.

FORM ESG 8 – Verification of Income

If household income cannot be verified with third-party source documents (provided by the participant), the Agency must request the income information from income source (i.e. employer/bank etc.) and include it in the program participant's file.

FORM ESG 9 – Calculation Worksheet or HUD Income Calculator Printout

The *Calculation Worksheet* must be completed at intake for HP and RRH projects in order to determine eligibility. In lieu of using the provided ESG Form 9, one may opt instead to use the HUD Income Calculator available online at <https://www.hudexchange.info/incomecalculator/>.

Income Recertification Documentation. Completion of the Income Calculation Worksheet/Printout is required every three (3) months after intake for all Homeless Prevention project participants and annually for all RRH project participants in order to determine continued eligibility for ESG HP/RRH assistance.

CASE MANAGEMENT DOCUMENTATION

Each of the following shall be documented and included within the project participant's file:

- **An Individual Service Plan, a Housing Assessment and Housing Plan** that is tailored to the client and created in consultation with the client.
- **Documentation of Monthly Case Manager Meetings with Client** that demonstrates regular interaction between the case manager and client ensuring positive movement forward toward stability and permanent housing.
- **Demonstration of Mainstream Service Referrals** that clearly shows to whom the client has been referred and the outcome of such referrals in a way that correlates with the project participant's individual service and housing plan.
- **Signed Client Receipt for Program Rules, Privacy Policy, Termination Policy, and Grievance Policy** in each client file shall be required to ensure the program participant's receipt and understanding of each of these items.
- **Record of Essential Services/Services by Category** documenting assistance provided to the program participant that correlates with their individual service and housing plan.

RENTAL ASSISTANCE

Copy of Lease

A lease is required for households receiving financial assistance that includes: rental assistance, rental arrearages, security deposits, utility deposits, and utility arrearages. All household members must be listed on the lease and a copy of the lease must be maintained in the participant file. For individuals moving into a new unit, the unit must meet HUD Habitability Standards before the lease is signed and the household moves in. For households already residing in a unit, the unit must meet Habitability Standards before financial assistance can be provided.

Housing Stability Plan

A Housing Stability Plan must be completed for all individuals that receive a housing assessment and are determined eligible for services. The Housing Stability Plan is intended to be a guide for both the household and the service agencies.

FORM ESG 10 – Rent Reasonableness Checklist and FMR Certification

Rent comparables are required for all households receiving financial assistance (*i.e. rental assistance, rental arrearages, security deposits, utility deposits, and utility arrearages*). ESG assisted units must be rented for a reasonable amount, compared to rents charged for comparable, unassisted units.

Documentation must show the basis for rent reasonableness determinations. FORM ESG 10 provides a rent analysis for two (2) comparable unassisted units. Although it is acceptable to use three (3) unassisted units in the same apartment complex, it is recommended that two (2) comparable units be located in other complexes/locations.

FORM ESG 11 – Habitability Standards Inspection Form

All units must meet Habitability Standards before financial assistance (*i.e. rental assistance, rental arrearages, security deposits, utility deposits, and utility arrearages*) can be provided. For individuals moving into a new unit, the unit must meet Habitability Standards before a lease is signed and the household moves into the unit.

If water/utilities are not on at the time of initial inspection, a follow-up inspection is required within ten 10 days to verify the water/utilities have been turned on, as is verification of activation for the client file.

FORM ESG 12 – Lead Screening Worksheet

A Lead-Based Paint Inspection is required for properties built before 1978 and if a child age 6 or younger or a pregnant woman will be residing in the unit. The inspection may be visual; however, if the child age 6 or younger has been identified with an *Identified Environmental Intervention Blood Lead Level*, the inspection must be done by a Certified Lead-Based Paint Risk Assessor.

FORM ESG 13 - Utility Assistance Eligibility

The Utility Assistance Eligibility form must be completed and included in the client file if the project is supporting an eligible client with ESG Utility Assistance.

ELIGIBILITY DOCUMENTATION OF NEED

The following is required within the file only where applicable to the client household:

- **Court Ordered Summons, Complaint or Judgment.** This is a document(s) issued by the Courts against the program participant/household. Applicable to HP programs, only.
- **Eviction Notice** Applicable to HP programs, only.
- **Utility Shut-Off or Late Payment Notice** Applicable to HP programs, only.
- **Denial Notices of services from agencies** Applicable to HP programs, only.
- **Certification of Domestic Violence.** This certification is a one page form to be completed regarding the incident/s of domestic violence, dating violence, sexual assault or stalking. Applicable to RRH programs, only.

The following documentation is applicable to the RRH program, only:

- **Shelter Referral Documentation** If applicable.
- **Verification that no other resources available** Applicable to RRH program, only.

HOUSING RELOCATION AND STABILIZATION

The following is required within the client file where applicable to the client household for HP and RRH programs:

- **Utility Payment Documentation**
- **Moving Costs Documentation**
- **Storage Cost Documentation.** Storage costs may not exceed three (3) months.
- **Hotel/Motel Voucher Documentation.** Documentation must include evidence as to the reasonableness of cost and lack of shelter if not for the hotel/motel.

FISCAL DOCUMENTATION AND CLOSEOUT

The following is required within the client file where applicable to the client household:

- **Documentation Supporting End of Assistance.** The client file must include evidence that demonstrates that the client household is no longer in need of assistance.
- **Termination Documentation.** If applicable. Required in circumstances where the client has been terminated from the program. In such cases, the client file must include evidence substantiating termination.
- **Exit Interview and/or Client Satisfaction Survey**
- **Documentation of Client Follow-Up.** Evidence of communication/attempt to communicate after exit.