* 1. **NC ESG PREVENTION CLIENT FILE CHECKLIST 2023**

|  |  |
| --- | --- |
| HMIS Client Identifying # |  |
| Entry Date |  |
| Exit Date |  |
| Coordinated Entry Referral (Circle One) | Y | N |
| Coordinated Entry Access Point (Circle One) | Y | N |

**Tab 1: Initial Assessment / Eligibility Criteria**

[ ]  **1.4** NC ESG Homeless Prevention Client File Checklist

[ ]  **2.0** NC ESG Verification of Homeless Status

* Must attach documentation from ESG
* Record Keeping Requirements based on category of homelessness

[ ]  **3.2** Intake:

NC HMIS: ESG RRH and Prevention Intake Form

 HMIS@NCCEH: Project Start Assessment – HP, SSO, DS, CE, TH, RRH, OPH, PSH

[ ]  **3.5** NC ESG Initial Third Party Verification of Client’s Income (initial intake)

[ ]  **3.5A** NC ESG Recertification Third Party Verification of Client’s Income (recertifications)

[ ]  **3.6** NC Initial Client’s Self Certification of Income **(ONLY if 3.5 cannot be obtained)**

[ ]  **3.6A** NC ESG Recertification Client’s Self Certification of Income **(ONLY if 3.5 cannot be obtained)**

[ ]  **3.7** NC ESG Initial Income Calculation Worksheet (initial)

[ ]  **3.7A** NC ESG Recertification Income Calculation Worksheet (initial)

**Tab 2: HMIS Interim Assessment / Client Exit Strategy**

[ ]  **3.3** Housing-Critical Needs Assessment Summary

[ ]  **3.4** Individual Housing Stabilization Plan

[ ]  **3.8A** NC ESG Monthly Update

[ ]  **3.9** NC ESG Financial Assistance Tracking

**Tab 3: Housing and Habitability Information**

[ ]  **4.0** NC ESG Rental Assistance Agreement

[ ]  Copy of Client’s current lease and/or new lease (if applicable)

[ ]  **4.1** NC ESG Rent Reasonableness Checklist and Certification

[ ]  **4.2** NC ESG HUD VAWA Form 5380 (required)

[ ]  **4.3** NC ESG HUD VAWA Form 5381 (give in client experiences a DV incident)

[ ]  **4.4** NC ESG HUD VAWA Form 5382 (required)

[ ]  **4.5** NC ESG HUD VAWA Form 5383 (given upon client request)

[ ]  **5.0** NC ESG Housing Stabilization Minimum Habitability Standards Checklist

[ ]  **6.0** Exit: NC HMIS: NC ESG Client Exit Form

 HMIS@NCCEH: Project Exit Assessment – SSO, DS, ES, TH, RRH, OPH, PSH

**Tab 5: Miscellaneous**

[ ]  Termination of Assistance (required if applicable)

[ ]  Client Grievances / Appeals (required if applicable)

**Tabs 1 – 5 are required to be present in the Client File**

**Tab 6 is recommended but not required**

**Tab 6: Recommended ESG Documentation**

[ ]  Coordinated Entry Documentation

[ ]  Case Notes ***(required if 3.8A not included/completed monthly)***

[ ]  Services Provided

[ ]  Referrals

[ ]  Correspondence

[ ]  HMIS/Comparable Database Release of Information and/or Sharing Plan