**ESG/HPP Client File Monitoring Checklist / HOMELESSNESS PREVENTION Only**

|  |  |  |  |
| --- | --- | --- | --- |
| Client Identifier |  | Program |  |
| Entry Date |  | Move-in Date |  | Exit Date |  |

1. \_\_\_\_\_\_ Record of **services provided** with EHH funds while in Prevention program *(24 CFR 576.105 & 106, 576.500(l))*

|  |  |  |
| --- | --- | --- |
| Financial Assistance | Rental Assistance | Stabilization Services |
| [ ]  Rental application fees[ ]  Security deposit[ ]  Last month’s rent[ ]  Utility deposits/payments[ ]  Moving costs | [ ]  Rental assistance[ ]  Rental arrears | [ ]  Housing search and placement[ ]  Housing stability case management[ ]  Mediation[ ]  Legal services[ ]  Credit repair |

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.*

1. \_\_\_\_\_\_ **Intake form/Initial Assessment** identifying client’s most pressing needs *(24 CFR 576.401(a))*

*Must be dated within 30 days of entry date.*

1. \_\_\_\_\_\_ **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))

 [ ]  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)

1. \_\_\_\_\_\_ Documentation of **income eligibility** at program entry, including an income calculation form and income source

 documentation *(24 CFR 576.401)*

[ ]  ESG (and ESG-match) income limit: 30% CMI

[ ]  HPP income limit: 80% CMI

1. \_\_\_\_\_\_ 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.*

1. \_\_\_\_\_\_ Documentation of **case management meetings,** at least monthly *(24 CFR 576.401(ei))*
2. \_\_\_\_\_\_ 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)*

1. \_\_\_\_\_\_ Documentation of provision of **Termination Procedure** *(24 CFR 576.500(f3)) (not required for single-day services)*

*Procedure should include possible reasons for termination, the procedure if 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.*

1. \_\_\_\_\_\_ If the client receives more than three (3) months of assistance, **documentation 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 (and ESG-match) income limit: 30% CMI

 [ ]  HPP income limit: 80% CMI

**Was** **any financial assistance provided to the client?** *(includes rental app fees, security deposits, last month’s rent, utility deposits/payments, and moving costs)*

[ ]  Yes, with ESG [ ]  Yes, with non-EHH funds *(used as ESG-match)*

[ ]  Yes, with HPP *(used as ESG-match)* [ ]  Yes, with non-EHH funds *(not used as ESG-match)*

[ ]  Yes, with HPP *(not used as ESG-match)* [ ]  No financial assistance was provided

***If ESG, ESG-match, or HPP was used:***

1. \_\_\_\_\_\_ Documentation of **financial assistance** provided, including source and payment documentation *(24 CFR 576.500(f1)&(u))*

 *Source documentation may include lease agreements, utility bills, invoices for moving expenses, or charges for*

 *rental application fees. Payment documentation (e.g. fiscal ledger, check stubs, etc.) should contain payment*

 *dates, payment amounts, and type(s) of expenses.*

**Was any rental assistance provided to the client?** *(includes rent and rent arrears)*

[ ]  Yes, with ESG [ ]  Yes, with non-EHH funds *(used as ESG-match)*

[ ]  Yes, with HPP *(used as ESG-match)* [ ]  Yes, with non-EHH funds *(not used as ESG-match)*

[ ]  Yes, with HPP *(not used as ESG-match)* [ ]  No financial assistance was provided

***If ESG, ESG-match, or HPP was used:***

1. \_\_\_\_\_\_ A copy of the **lease agreement** covering the dates of rental assistance provided *(24 CFR 576.106(g))*
2. \_\_\_\_\_\_ 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*

1. \_\_\_\_\_\_ 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

1. \_\_\_\_\_\_ Documentation of unit compliance with **Rent Reasonableness** *(24 CFR 982.507)*

[ ]  N/A: client only received assistance with rental arrears

1. \_\_\_\_\_\_Documentation of unit compliance with **Fair Market Rent** *(ESG only)**(24 CFR 982.503**)*

[ ]  N/A: no ESG or ESG-match funds were used

[ ]  N/A: client only received assistance with rental arrears

1. \_\_\_\_\_\_ Documentation of unit compliance with **Habitability Standards** *(24 CFR 576.403)*

*If using HPP funds (and no ESG or ESG-match funds), an HQS inspection is also allowable.*

1. \_\_\_\_\_\_ **Lead Paint Disclosure Form**, including provision of [HUD’s Lead Safety Pamphlet](https://www.epa.gov/lead/protect-your-family-lead-your-home-real-estate-disclosure%22%20%5Cl%20%2212) *(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

1. \_\_\_\_\_\_ **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 Program Manual for required elements.*

1. \_\_\_\_\_\_ 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**

|  |
| --- |
|  |

*revised 11/2024*