



ESG Client File Checklist

The Client File Checklist is intended to support ESG subrecipients in obtaining compliant client-level documentation for the Street Outreach (SO) component. Obtaining and maintaining full and complete documentation for each applicant is required for every entity that receives ESG funds. This checklist guides staff to ensure that each client file contains the required information for both California Department of Housing and Community Development (CA HCD) and the United States Department of Housing and Urban Development (HUD).

Instructions:

- Every client served by ESG must have a client file that contains all the relevant information below and includes this Client File Checklist.
- The Client File Checklist itself intended to serve as a means for documenting that SO is being provided consistent with the [CA HCD Street Outreach Policy](#).
- Update the fields below to show which documents are in the client file.
- Gather documents, complete calculations, and add documents and completed forms in the order of each section.

Case Information				
Agency & Program Name:				
Head of Household Client ID:	Application Date:			
	Program & HMIS Entry Date:			
Client Status:	<input type="checkbox"/> New to program <input type="checkbox"/> Continuing client <input type="checkbox"/> Ineligible client (see Eligibility Section below)	ESG Program:	<input type="checkbox"/> Street Outreach	
Household Information				
Required Documentation			In File	Date
<input type="checkbox"/> HMIS ESG Intake Form (inclusive of all ESG-required HMIS data elements) <i>*Household information is entered in HMIS and should be printed and included in the case file</i>				
<input type="checkbox"/> HMIS Release of Information or equivalent form				
Further Information: ESG Program HMIS Manual				
Documentation of screening or Intake Form for Coordinated Entry				



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Eligibility		
<i>Required Documentation</i>	In File	Date
<p>VERIFICATION OF UNSHELTERED HOMELESS STATUS</p> <p>For clients experiencing <u>unsheltered homelessness (Category 1/Literal Homelessness, sub-category (1)(i))</u>, a completed homeless verification should be completed by the Street Outreach program in HMIS when a client is referred to the project. Staff should review for eligibility and compliance.</p> <p>Preferred Order for Literally Homeless Documentation (Category 1):</p> <ul style="list-style-type: none"> <input type="checkbox"/> Third Party Certification Written (including already available documents such as HMIS record) or Oral (case manager to write out oral statement, sign, and date), OR <input type="checkbox"/> Staff Observations (must be written, signed, and dated by relevant staff), OR <input type="checkbox"/> Self-Certification (must be written and dated). <p>While third party certification is the preferred method of verification for ESG, lack of third-party certification MUST NOT be a barrier to street outreach services. Staff observations are acceptable and often the most feasible for street outreach projects and can be satisfied by entering the client’s location in HMIS via the Current Living Situation data element.</p> <p>Further Information: At a Glance: Criteria and Recordkeeping Requirements for Definition of Homeless, CA HCD Homelessness Eligibility and Documentation Policy, CA HCD Street Outreach Policy</p> <p>For clients fleeing domestic violence (“Category 4”) and entering the SO project, clients still are only eligible if they are unsheltered. The preferred documentation order differs to consider Category 4 client safety and emergency needs.</p> <p>Victim-Service Provider Intake:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Oral statement which confirms they are fleeing, have no subsequent residence, and they lack resources. Documented by self-certification of intake worker. <p>Non-Victim Service Provider Intake:</p> <ul style="list-style-type: none"> <input type="checkbox"/> Oral statement which confirms they are fleeing. Documented by self-certification of intake worker (seek third-party verification only so long as doing so does not jeopardize the client’s safety); AND <input type="checkbox"/> Certification that no subsequent residence has been identified; AND <input type="checkbox"/> Self-Certification, or other written documentation, that household lacks financial resources and support networks to obtain other permanent housing. 		



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<p>Further Information: Resources listed above; 24 CFR §576.2 (under Homeless definition, paragraph (4)); HUD ESG Eligible Participants (slides), slide 27 (explaining preferred documentation order considerations for clients fleeing or attempting to flee DV)</p>		
<p>Ineligibility (as applicable)</p> <ul style="list-style-type: none"> <input type="checkbox"/> Determination <input type="checkbox"/> Documentation of Reason <p>Further Information: 24 CFR 576.500(d): For each individual and family determined ineligible to receive Emergency Solutions Grant (ESG) assistance, the record must include documentation of the reason for that determination.</p>		
<p>Need (Intended compliance with 24 CFR Section 576.401(a))</p> <ul style="list-style-type: none"> <input type="checkbox"/> Determination <input type="checkbox"/> Supporting Documentation <p>Further Information: CA HCD's ESG Subrecipient Program Manual, Sec. VII.B (Evaluation of Program Participant Eligibility & Needs) outlines requirements for initial evaluation of the amount and types of assistance the participant needs to regain stability in permanent housing.</p>		
Street Outreach Activities		
<i>Services & Linkages/Referrals Provided</i>		
<ul style="list-style-type: none"> <input type="checkbox"/> Housing Stability Plan <input type="checkbox"/> Related Case Management Documentation <input type="checkbox"/> Diversion and Rapid Exit Services Provided <input type="checkbox"/> Other Relevant Service & Assistance Documentation <p>Documentation should include:</p> <ul style="list-style-type: none"> • Services provided to participants (must be recorded in HMIS) • Service provider (e.g., relevant medical/professional license for emergency health/mental health service provided and setting provided) • Location provided • Length of case management/other services provided to participants. <ul style="list-style-type: none"> ○ Emergency Health/Mental Health Services: Need • Proof showing participant linkage to other homeless and mainstream support and resources 		



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<p>ESG clients cannot be required to participate in services to receive assistance.</p> <p>Further Information: CA HCD Street Outreach Policy, CA HCD Housing Problem-Solving Policy (integrated into case management to create individualized housing and service plan, including path to permanent housing stability); HCD ESG Subrecipient Program Manual, Sec. VII.B (Evaluation of Program Participant Eligibility & Needs), sub-parts (4) and (5)</p>		
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Termination of Assistance		
<p> <input type="checkbox"/> Notification of Termination of ESG Services _____ (date) <input type="checkbox"/> Termination of Assistance Appeal _____ (date) <input type="checkbox"/> Other Supporting Documentation of Compliance with Termination and Appeals Policies and Procedures </p> <p>HCD ESG Subrecipients Manual, Sec. VII(C): compliance with the termination of assistance requirement in § 576.402. Documentation of compliance should include written policies and procedures. Other documentation may include written participant rights handout, written termination notices and final decisions, and other evidence</p> <p>Further Information: CA HCD Street Outreach Policy, Sec. I(E)</p>		

Project Staff completing the form: _____ Date: _____

Supervisor/Manager Review: _____ Date: _____