

1.4 NC 507 PREVENTION CLIENT FILE CHECKLIST 2021

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**

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

- 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 Third Party Verification of Client’s Income (initial intake & every 3 months thereafter)
- 3.6** NC ESG Client’s Self Certification of Income (**ONLY if 3.5 cannot be obtained**) (initial intake & every 3 months thereafter)
- 3.7** NC ESG Income Calculation Worksheet (initial intake & every 3 months thereafter)

Tab 2: HMIS Interim Assessment / Client Exit Strategy (note only 3.3/3.4 or 3.8 is required)

- 3.3** Housing-Critical Needs Assessment Summary
- 3.4** Individual Housing Stabilization Plan
- 3.8** NC ESG Housing Barriers Matrix and Initial Housing Stabilization Plan
- 3.8A** NC ESG Stabilization Action Plan 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
- Services Provided
- Referrals
- Correspondence
- HMIS/Comparable Database Release of Information and/or Sharing Plan