



# **2023 NC ESG CLIENT FILE FORMS Housing Stabilization**

**Webinar**

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## 2023 ESG Client File Forms

**The 2023 client file forms are found on the NC DHHS, Aging and Adult Services website located at:**

<https://www.ncdhhs.gov/divisions/aging-and-adult-services/nc-emergency-solutions-grant/nc-emergency-solutions-grant-%E2%80%93-0>

# Importance of Client Files

- **Per 24 CFR 576.500**, the Subrecipient must maintain files for clients served with ESG funding to ensure that ESG funds are used in accordance with the HUD requirements and State guidance.
- Client files tell the story of the individuals your organization is assisting with ESG funds.
- Eligible Client + Eligible Unit (if applicable) = Eligible Allowable Expenses

# Client File Form Matrix

- Use as a roadmap to assist in file preparation for each funded activity
- Includes all required forms for a complete client file
- Color-coded by activity / same as requisition matrix
- Mirrors the client file checklist for all activities

# Client File Form Matrix

NC ESG FORM	1.0 - NC ESG CLIENT FILE MATRIX: FORMS REQUIRED BY ACTIVITY							
	EMERGENCY SHELTER	EMERGENCY SHELTER SERVICES	STREET OUTREACH	PREVENTION SERVICES	PREVENTION FINANCIAL ASSISTANCE	RAPID REHOUSING SERVICES	RAPID REHOUSING FINANCIAL ASSISTANCE	INELIGIBLE CLIENT FILE
1.1 NC ESG Emergency Shelter and Street Outreach Client File Checklist	X	X						
1.2 NC ESG Street Outreach Client File Checklist			X					
1.3 NC ESG RRH Client File Checklist						X	X	
1.4 NC ESG Homeless Prevention Client File Checklist				X	X			
1.5 NC ESG Ineligible Client File Checklist								X
2.0 NC ESG Verification of Homeless Status	X	X	X	X	X	X	X	X
3.1 NC ESG Street Outreach and Emergency Shelter Intake Form*	X	X	X					
3.2 NC ESG RRH and Prevention Intake Form*				X	X	X	X	
3.3 Housing Critical Needs Assessment Summary	X	X	X	X	X	X	X	
3.4 Individual Housing Stabilization Plan	X	X	X	X	X	X	X	
3.5 NC ESG Initial Third-Party Verification of Client's Income				X	X	X	X	
3.5A NC ESG Recertification Third Party Verification of Client's Income				X	X	X	X	
3.6 NC ESG Initial Client's Self-Certification of Income				X	X	X	X	
3.6A NC ESG Recertification Client's Self-Certification of Income				X	X	X	X	
3.7 NC ESG Initial Income Calculation Worksheet				X	X	X	X	
3.7A NC ESG Recertification Income Calculation Worksheet				X	X	X	X	
3.8A NC ESG Stabilization Action Plan Monthly Update				X	X	X	X	
3.9 NC ESG Financial Assistance Tracking Form					X		X	
4.0 NC ESG Rental Assistance Agreement				X	X	X	X	
4.1 NC ESG Rent Reasonableness Checklist and Certification				X	X	X	X	
4.2 NC ESG HUD VAWA Form 5380	(Required)			X	X	X	X	
4.3 NC ESG HUD VAWA Form 5381	(Required if applicable)			X	X	X	X	
4.4 NC ESG HUD VAWA Form 5382	(Required)			X	X	X	X	
4.5 NC ESG HUD VAWA Form 5383	(Required if applicable)			X	X	X	X	
5.0 NC ESG Housing Stabilization Minimum Habitability Standards Checklist				X	X	X	X	
6.0 NC ESG Client Exit Form*	X	X	X	X	X	X	X	

# Client Files – Housing Stabilization (RRH, PREV)

## Required:

- 1.3 NC ESG RRH Client File Checklist
- 1.4 NC ESG Homeless Prevention Client File Checklist
- 2.0 NC ESG Verification of Homeless Status
- 3.2 NC ESG RRH and Prevention Intake Form\*
- 3.3 NC ESG Housing Critical Needs Assessment Summary
- 3.4 Individual Housing Stabilization Plan
- 3.5 NC ESG Initial Third-Party Verification of Client's Income
- 3.5A NC ESG Recertification Third-Party Verification of Client's Income
- 3.6 NC ESG Initial Client's Self-Certification of Income
- 3.6A NC ESG Recertification Client's Self-Certification of Income
- 3.7 NC ESG Initial Income Calculation Worksheet
- 3.7A NC ESG Recertification Income Calculation Worksheet
- 3.8A NC ESG Stabilization Action Plan Monthly Update
- 3.9 NC ESG Financial Assistance Tracking Form
- 4.0 NC ESG Rental Assistance Agreement
- 4.1 NC ESG Rent Reasonableness Checklist and Certification
- 4.2 NC ESG HUD VAWA Form 5380
- 4.3 NC ESG HUD VAWA Form 5381
- 4.4 NC ESG HUD VAWA Form 5382
- 4.5 NC ESG HUD VAWA Form 5383
- 5.0 NC ESG Housing Stabilization Minimum Habitability Standards Checklist
- 6.0 NC ESG Client Exit Form\*

# Client Files – Housing Stabilization (RRH, PREV)

## Recommended:

- Coordinated Entry Documentation
- Case Notes
- Services Provided
- Referrals
- Correspondence
- HMIS/Comparable Database Release of Information and/or Sharing Plan

# **Client File Forms**



# Best Practices

## All client files:

- Contain the appropriate ESG checklist and are “tabbed” and/or divided accordingly. (Checklist are completely filled out)
- ESG forms contain HMIS or DV Comparable Database Number
- Are kept confidential in a safe / secure location
- Are separated by activity (i.e. ES Client File separate from RRH)

**Deviations from the minimum required documentation standards must be approved by the NC ESG Office prior to use.**

# Common File Issues

- Forms requiring signatures and dates, are not signed and dated.
- Files are out of order and/or forms are hard to identify / locate. Files must be in order of the checklist.
- Client File Checklist not complete (i.e boxes not checked, no entry/exit date ect.)
- Multiple activities are combined in one single client file. Each activity a client is enrolled in must have a separate file.
- 3rd party back up documentation is not in the file. This is required and if missing, could have larger eligibility ramifications for the organization.
- Client files are not being created at entry. Client files must be created at entry and maintained throughout the duration, using the most up to date forms on the DHHS website.

# Common Questions

## **Does a certified inspector need to conduct inspections?**

No. Habitability standards do not require a certified inspector to conduct on-site inspections. For example, units assisted by ESG may be inspected by:

- ESG program staff;
- Staff from or hired by an agency of the grantee's local government; or
- Staff from another subsidy program providing assistance to the unit and also requiring an inspection (e.g., Section 8, HOPWA TBRA), as long as they follow the minimum habitability standards required by ESG

## **Can we use our own forms?**

Deviations from the minimum required documentation standards must be approved by the NC ESG Office prior to use.

# Contact Information

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