Supportive Services Monitoring Checklist

This document summarizes key questions for monitoring supportive services. Grantees may wish to use this list as a guide, and add additional, more specific, questions to develop their monitoring tools. Each monitoring question references pages in the HOPWA Grantee Oversight Resource Guide that provide additional information.

Additional information & resources can be found here: https://www.hudexchange.info/resource/1025/hopwa-program-administration-toolkit

HOPWA Grantee Oversight Resource Guide
https://www.hudexchange.info/resource/1003/hopwa-grantee-oversight-resource-guide

Tracking and Reporting of Detail—In the Guide, pages 133-136

Does the sponsor track the delivery of supportive services in detail sufficient to adequately categorize and report them to the grantee?

- Verify that documentation indicates separate tracking of all HOPWA-funded supportive service activities provided to eligible participants

- Verify that the sponsor is able to provide complete and accurate information indicating:
  » The number of eligible households that received the specific service
  » The amount the sponsor spent on the specific service
  » The leveraged value of all other non-HOPWA funds brought into the service activity (Ryan White, Medicare, Medicaid, other grants, agency funds, etc.)

Adequate Documentation of Supportive Services—In the Guide, pages 136-138

Does the sponsor have adequate documentation of supportive service activities, in order to back up reporting and demonstrate the eligibility of recipients, conformance with the grant agreement, adequacy to levels of need, and the eligibility of the activity itself?

- Verify that:
  » The participant is eligible for the specific supportive service
  » The activity itself is allowable
  » HOPWA-funded supportive services provided were approved in the grant agreement and operating budget
  » Case management notes and invoices document the supportive services provided

- Review participant files and sponsor invoices for any identifiable ineligible or unapproved services

Compliance with Health Expenses Limitations—In the Guide, pages 138-198

Are limits on the use of HOPWA funds for health services followed? Are efforts to secure other assistance for health care costs adequately documented?

- Verify written HUD approval of any expenditures for health care services

- Verify documentation outlining efforts to qualify participants for other health care assistance
  » Applications for Ryan White, ADAP, ACA, and other applicable health care assistance

Proper Categorization of Housing Information and Permanent Housing Placement (PHP) Activities and Costs—In the Guide, pages 139-141

Does the sponsor properly track housing information and permanent housing placement activities and housing costs (including security deposits) as separate housing support activities?

- Housing information services
  » Verify via participant files and case management notes that funds were used for:
    - Referrals to affordable housing, housing location assistance, and working with landlords to secure units
  » Verify that funds are tracked separately from TBRA, STRMU, and other supportive services
    - Review invoices or other similar documents

- Permanent Housing Placement (PHP)
  » Verify that funds were used for:
    - Tenant housing counseling, application fees, credit checks, and security deposits which do not exceed 2 months' rent (review participant files, case management notes, and financial records)
  » If security deposits are returned to grantee or sponsor, verify that these receipts are tracked as program income:
    - Review accounting records
    - Review HOPWA CAPER and APR reports
  » Verify that funds are tracked separately from TBRA, STRMU, and other supportive services
    - Review invoices or other similar documents