



# Shelter Operations Support – Pilot Program

Funded Agency Compliance Training  
FY 2023

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# Overview

- Compliance Site Visit
- Desk Review Process
- Client File Documentation
- Financial Documentation
- Monitoring Notifications
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- Common Findings
- Best Practices

# Compliance Site Visit

- Compliance visits are scheduled by an MHDC Compliance officer, and are conducted at location listed on the Site Contact form.
- Standard site visits may be scheduled once a minimum of 25% of approved back-up (SOS Pilot-106) has been submitted and approved by accounting.
- The information reviewed at the site visit will be gathered from all approved SOS Pilot -106 Expense Detail and SOS Pilot-107 Quarterly Service Report forms.
- Compliance Officers may also request agency processes, procedures and programmatic data for review.
- Requested files and documents must be produced within 15 minutes of the Compliance Officer's arrival and must be:
  - assembled in an orderly fashion;
  - in paper form;
  - available for review in a private workspace.
- Exceptions to the 15 minute requirement can only be made if the staff member is assisting a client.

# Desk Review Process

In the event that an onsite compliance visit cannot be conducted, an electronic desk review will be required as follows:

- Once a funded agency meets the minimum threshold of submitted and approved backup/invoices, a compliance desk review may be scheduled by the MHDC compliance officer and will consist of the following;
  - An email to schedule the Desk Review will be sent to the financial contact and Executive Director listed on the Site Contact form. **NOTE:** All grantees are responsible for ensuring that their listed grant contacts are up to date.
  - The initial email will include a proposed date in which agency staff responsible for administering the grant should be available to provide requested documentation electronically, as well as general information concerning how the electronic desk review will be conducted.
  - On the scheduled date and time of the review, the compliance officer will send a second email to the agency grant contact, the financial contact and the executive director on file, with a detailed list of all required documentation i.e., client file documentation, forms, and financials. The items will be randomly selected from the approved SOS Pilot-106/107 and/or the invoices submitted to date.
  - All requested documentation should be assembled in an orderly fashion, scanned, and submitted electronically **within 24 hours**.

Please review scans before sending them to MHDC.  
Make sure that all pages are facing the same direction and are legible.

# Client File Documentation

Clients who received case management, child care, and/or health or mental health services:

- SOS Pilot – 102 Release of Information
- Detailed case notes and/or service records

# Shelter Operation Documentation

- The following Shelter Operation documents must be kept on site and available to compliance officers:
  - MHDC Minimum Shelter Standards
  - Program Guidelines
  - All approved SOS Pilot 106 Expense Details
  - All approved SOS Pilot 107 Quarterly Service Reports

# Financial Documentation

Expense	Cost Incurred	Proof of Cleared Payment
<b>Employee Compensation</b>	<ul style="list-style-type: none"> <li>Detailed timesheets, signed by both the supervisor and employee detailing time worked under the SOS Pilot Program grant.</li> </ul>	<ul style="list-style-type: none"> <li>Employee paystub;</li> <li>Timesheet (see Cost Incurred);</li> <li>Bank statement with cleared SOS Pilot payments highlighted.</li> </ul>
<b>Bills Paid and Supplies Purchased</b>	<ul style="list-style-type: none"> <li>Receipt;</li> <li>Invoice.</li> </ul>	<ul style="list-style-type: none"> <li>Invoice/Receipt;</li> <li>Bank statement with cleared SOS Pilot payments highlighted.</li> </ul>
<b>Mileage</b> <i>*Not to exceed the state of Missouri's standard mileage rate of \$0.655/mile</i>	<ul style="list-style-type: none"> <li>Travel request or mileage expense report which contains:               <ul style="list-style-type: none"> <li>Date of travel;</li> <li>Details regarding where staff is traveling from/to;</li> <li>Purpose of travel;</li> <li>Number of miles;</li> <li>Total mileage costs.</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>Check register or credit card/bank statement with payments made by the SOS Pilot Program highlighted and/or returned checks log.</li> </ul>

# Monitoring Notification

- Following the site visit or desk review, MHDC staff will prepare a report detailing the results of the review including any deficiencies and/or areas of improvements along with corrective action required.
- Agencies not in compliance must submit a Corrective Action Plan detailing how the agency plans to rectify the compliance issues noted within 30 days.
- Funding will be suspended until the MHDC staff member has verified that the issue(s) has/have been resolved.



# Non-Compliance

- More than one-half of files reviewed during on-site compliance visit missing documentation.
- Files were unable to be reviewed during the site visit.
- Files were not produced within 15 minute time frame.
- Grantee will not schedule visit; after three attempts and no response from request sent within 15 days of date of request.
- Grantee accommodations deemed to be unsafe or unsanitary; allegations of potential danger to clients due to grantee negligence.

# Common Findings

- Missing required forms and/or incorrect usage of forms.
- Insufficient recordkeeping.
- Missing case notes.
- Expenses incurred and/or paid outside the grant period.

# Best Practices

- Review SOS Pilot Program 2023 Funded Agency Trainings.
- Submit timely reports prior to grant deadlines.
- Submit site contact updates to your Program Administrator in a timely manner.
- Enter grant deadline reminders into your office calendar.
- Implement internal written policies and procedures to ensure SOS Pilot Program 2023 Desk Guide compliance.
- Frequently review [www.mhdc.com](http://www.mhdc.com) for updates to the Desk Guide and forms.
- If you're not sure, ask your Program Administrator.

# Thank you!

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