HOPWA Reporting using the Annual Progress Report (APR)
Training 1 of 3

Welcome to the HOPWA APR Training Module. Before you begin, here is some information that will help you navigate through the presentation more easily:

The APR Training Module is divided into three parts. Part 1 of the APR Training Module should take approximately 34 minutes and it will take approximately 2 hours and 10 minutes to go through all 3 parts.   If you have a question about a specific section of the report refer to slide 6 of this presentation to determine which Training Module you should reference to answer your question. Feel free to skip sections of the guide for which you do not need assistance.

Upon reaching a slide, a sound clip will automatically play. In order to advance to the next slide, click anywhere on the slide with your mouse. You may notice that at the end of each sound clip there are a few seconds of silence. This added silence was necessary to accommodate for a quirk in the PowerPoint platform.   If you wish to skip a slide you may have to click on the slide more than once. Clicking while the sound clip is playing will stop the audio file and you will be required to click a second time to advance to the next slide. To return to the previous slide, right click on your mouse and select "previous slide" from the drop down menu. You can select "Previous" to return to the previous slide, "Next" to advance to the next slide, or you can select "Go To" to skip to a specific slide. To end the slideshow, press Escape (ESC) on your keyboard or right click and select "end show."

You are now ready to begin the training!

Using this Guide

To follow along with the guide, print out a blank copy of the APR, so that you can have it in front of you as we walk through the report. The first few pages of the APR have definitions of HOPWA terms and activities that you may find useful.

This guide goes step by step through the APR, and will help grantees and project sponsors understand how to accurately complete their report. It should give you a good idea of what data elements you need to collect. It also explains some of the confusing questions in the report. Each slide includes an audio file. The audio texts can be found on the HRE website.

Occasionally, you will find an interactive slide, marked with a green question mark, where you will be asked to consider various sections of the report. Slides with definitions of HOPWA activities or terms will be tagged with a yellow exclamation mark.

Throughout the guide, we will refer to technical assistance providers (TAs), hired by HUD to provide information regarding HOPWA to grantees. Every grantee has access to a TA. TA providers serve as a resource for grantees seeking insight into HOPWA regulations, suggestions on how to overcome implementation barriers, ideas for data collection systems, knowledge of potential leveraging resources, and more. If you have a specific question that this guide does not address, click on the link provided to find a TA provider to assist you. If you are not sure how to categorize a specific activity provided by your program, you can ask your TA provider. If you are having difficulty tracking outcomes or separating expenditure information by specific line-items, you can ask your TA provider for suggestions and strategies for developing data collection systems to help you.

In order to advance to the next slide, click anywhere on the slide with your mouse. If the sound clip has not finished playing you will need to click a second time to advance to the next slide.

What is the APR?

The Annual Progress Report (APR) is a document used to collect information from HOPWA grantees regarding their use of program funds and progress towards reaching identified objectives. It is due to HUD 90 days after the close of the grant's program year. There are primarily three types of data that grantees are required to report in the APR. This includes administrative/identifying data such as the grant number, program year, and sponsor contact information; numerical data such as counts of individuals, beneficiaries, households, and units; and expenditure data including HOPWA funds and leveraged funds.

Competitive grantees are required to submit an APR, HUD form C, for each operating year in which HOPWA funds are expended. Formula grantees are required to submit the HOPWA Reporting (form D) section of their CAPER (Consolidated Annual Performance and Evaluation Report.) Additionally, formula grantees must actively use and report in IDIS along with performing their related consolidated plan efforts. For a guide on how to complete the CAPER, refer to the HUD HRE website. By arrangement with HUD, Formula grantees may also use the APR to report, however it is recommended that they use the CAPER.

Although formula grantees are not required to complete the APR, many grantees, (both competitive and formula grantees) require each of their project sponsors to complete the APR, so that they can later compile this information into one APR or CAPER to submit to HUD.

Additionally, by requiring project sponsors to complete the APR, formula grantees can collect information needed to report in IDIS. Formula grantees are required to update the performance information on their IDIS activities no later than 90 days after the end of the program year and maintain information current with regular financial disbursements. Grantees can use the APR as a tool to collect some of this information from project sponsors. Once the APR has been submitted to HUD, the report is reviewed for consistency and accuracy.

Why is Performance Reporting Important?

The information reported in the APR is important. Not only does it allow the Office of HIV/AIDS Housing (OHH) to report program achievements in national HUD reports and national profiles, it can help grantees evaluate their own performance. By tracking household outcomes and outputs, grantees can determine which areas of their program are working, and which areas need to be improved. The information can help grantees set targets for future program years and adapt their plans to address unmet need. The narrative portion of the APR allows the grantee to share their accomplishments and express their concerns regarding obstacles they face implementing their programs. The information in the APR allows OHH to identify needs for program enhancement and guidance, to monitor grant activity, and to advocate for HOPWA. Additionally, program reporting enhances transparency and allows clients to better identify resources.

Where to Begin?

Data Collection should begin as soon as you are awarded a HOPWA grant. If you start thinking about reporting at the end of the program year, you are going to have a much harder time collecting and compiling the information. In some cases, it might be impossible to go back to collect the information. For competitive grantees reporting in the APR, the following steps will help you successfully complete the reporting process.

Step 1) Become very familiar with the questions asked in the APR.

Step 2) Work with your TA provider to design a data collection system. Think about how you will collect information to answer each question. Things that need to be considered include, how to best track household stability outcomes, access to care outcomes, and leveraging information . In addition, grantees will need to determine how they will coordinate with other organizations to collect required information-.

Step 3) Train your Project Sponsors on the APR reporting requirements. Once you have a firm understanding of the APR, train your sponsors so that they know what information they are responsible to collect. You can work with your TA provider to set up a formal project sponsor training.   In order to collect all of the required information needed for the cumulative APR, many grantees require their project sponsors to complete an entire APR, which includes demographic data, performance and expenditure data, as well as outcome data.

Step 4) Gather and review data from Project Sponsors. Before combining all of your project sponsor's data, look at each project sponsor's information to make sure that it makes sense. Look for inconsistent and missing data. If one project sponsor's information is incorrect, this will throw off all of the cumulative totals.

Step 5) Include a separate Part 5 for each of your project sponsors. For each sponsor, the grantee is required to complete Part 5A, Part 5B, Part 5C, Part 5D, and Part 5E. All sections must be submitted for each of your project sponsors.

Step 6) This step mostly requires a lot of addition and cutting and pasting. For the narrative portion, consolidate the information provided by project sponsors to represent accomplishments and barriers as accurately as possible. For each item in the Performance and Expenditures Chart in Part 3 and the Performance Outcomes Section in Part 4, add up the information provided by project sponsors in order to get cumulative data on the number of households served with each HOPWA-activity as well as the cumulative housing and access to care outcomes for these households. In order to make sure that you are only reporting each household once in these charts, it is important to keep track of households served by multiple sponsors for the same type of assistance.

Step 7) Complete Part 1, Grantee Summary. You can complete Part 1 at any point. It does not require any information from your project sponsors to complete.

The Structure of the APR

The APR is divided into six parts. The first APR Training PowerPoint focuses on Part 1 and Part 2 of the APR.

Part 1 is the Grantee Summary and includes basic grantee identifying information

Part 2 includes the Grantee Narrative and Performance Assessment as well as the Unmet Housing Need Chart.

Part 1: Grantee Summary: The Basics

The Grantee Summary or Part 1, Section 1 of the APR is used primarily to answer "who, when, and where" questions. Who is receiving the HOPWA grant, where is the grantee located, what is the grantee's contact information , what is the Operating Year for the report, etc. Project Sponsors completing the APR for the purposes of data collection do not need to complete the Grantee Summary in Part 1, Section 1, although they will provide similar information later in Part 5.

The Grantee Summary begins with a place to report the grant number, operating year, grantee name, and type of grant. This information can be found in your grant agreement. If this basic information is not correct, the report will not be accepted. In particular, it is very important that your operating year is correct. All accomplishment and expenditure information in the report should be based on activities taking place during the operating year.

When reporting the operating year, do not forget to mark either Yr 1, Yr 2, Yr 3, or Extension Year. In this example, the grantee marked year 1, indicating that this is the first year in which the grantee is utilizing HOPWA funds from this grant. The box entitled "Parent Company" only needs to be completed for organizations directly associated with a larger organization. For instance, a state or local branch of Salvation Army, might put Salvation Army as the parent company, and the specific branch of Salvation Army under Grantee Name.

Part 1: Grantee Summary: The Basics

This slide shows a continuation of the Grantee Summary. The APR must be completed in the correct format. If the wrong reporting format is used, the report will not be accepted. On the right hand, bottom corner of each page in the APR, there should be an expiration data of 12/31/2010. If the report has an incorrect expiration date you are using the incorrect format.

Part 1: Grantee Summary: Service Delivery Information

This slide shows a continuation of the Grantee Summary in Part 1, Section 1. All grantees must provide an Employer Identification Number or a Tax Identification Number as well as a DUNs number. The EIN, TIN, and DUNS are used to identify the grantee, sub-recipients, and project sponsors. An EIN is a nine-digit number issued by the Internal Revenue Service to identify the tax accounts of business entities. Additional information can be found on the IRS website. The Data Universal Number System (DUNS) is a unique nine-digit number assigned by Dun & Bradstreet. This number can be obtained by calling Dun and Bradstreet 1-866-705-5711 or online at www.dnb.com.

All grantees must provide their Congressional District of Address. This is the congressional district where the grantee organization is physically located.

The Primary Service Area information only needs to be completed by grantees that directly implement their program. These are grantees that directly provide supportive services, housing assistance, or housing placement assistance to clients. If the grantee does not directly provide services or housing assistance , but rather relies on project sponsors to serve clients, then they are not required to complete the primary service information.

When listing Congressional Districts, Zip Codes, Cities, and Counties of Primary Service Area(s) be as specific as possible. Grantees directly implementing their program must complete all items. The Primary Service Area(s) is not just the area where the organization is currently serving clients. It is also any area that the organization is able to serve clients or would serve clients. For instance, if an organization is responsible for serving 3 counties, but currently only serves clients in 2 counties, ALL 3 counties need to be reported under Counties of Primary Service Area.

Report on all Congressional Districts of Primary Service Area. When reporting zip codes of Primary Service Area, you are required to report on the top 5 zip codes served in your Primary Service Area. You do not need to list every zip code if this would involve writing out dozens or hundreds of zip codes, although you are encouraged to provide as much information as possible. You are required to report on all Cities and Counties of Primary Service Area. If you serve an area with dozens or hundreds of cities, then abbreviate by writing "all cities in _____ county."

Part 1: Grantee Summary: Service Delivery Information

The chart above has been filled out incorrectly. Try to determine which items are incorrect. When you have made a guess, click on the slide with your mouse to see if you are right. Incorrect items will be highlighted in red.

The grantee made two errors when completing this section. If the grantee implemented HOPWA activities directly, then all service delivery questions should be answered. Counties of Primary Service Area should be clearly distinguished from Cities of Primary Service Area. Vague responses such as "All Zip Codes in Greater Boston" should be avoided. Instead, the grantee should either specify the city or county, for example by writing "all zip codes in Harrington and Bridgeport Counties" or list the top 5 zip codes served.

Part 1: Grantee Summary: Waiting List Information and Nonprofit Status

This slide shows a continuation of the Grantee Summary in Part 1, Section 1. Answer all questions.   If your organization does not have a website address, put "n/a". Do not leave this box blank. In fact, whenever something is not applicable to your program, be sure to put "n/a" instead of leaving the question blank. Blank boxes could mean more than one thing. This is particularly important later in the report. These things may seem fairly minor, however keep in mind that the information in your APR is used for a variety of purposes, not simply to satisfy grantee reporting requirements. The website address you report could help connect a potential client to your program.

If your organization maintains a waiting list, make sure to explain in your narrative (Part 2) how the list is administered. You must mark either yes or no.

Each year, HUD consolidates information on characteristics of partnering organizations based on information you provide in the Grantee Summary. For the question about the grantee's nonprofit status, the grantee must mark either yes or no. Check with your TA provider if you are confused about your organization's nonprofit status. A government agency is NOT considered a nonprofit organization.   If the grantee marks yes, this indicates that the grantee is a nonprofit organization. A nonprofit grantee must further indicate whether it is a faith-based organization founded and/or operating within this context, and also mark whether it is a grassroots organization. Check all that apply. It is possible for the grantee to mark that they are both a faith-based organization and a grassroots organization. A grassroots organization is an organization headquartered in the local community where it provides services; has a social services budget of $300,000 or less annually, and six or fewer full-time equivalent employees. Local affiliates of national organizations are not considered "grassroots." If you have further questions regarding your organization's classification, please contact your TA provider. You may also refer to your HOPWA application, in which your organization should have previously reported its nonprofit and faith-based status.

Part 1, Section 1: Find the Error

The Grantee who completed this section of the Grantee Summary in Part 1, Section 1 made two errors. Look for the errors. Once you think you know which mistakes were made, click anywhere on the slide with your mouse to see if you are correct.   The errors or missing elements will appear in red.

Notice, that the grantee marked that they are a grassroots organization, without marking that they are a nonprofit organization. All grantees must mark whether or not they are a nonprofit organization. An organization cannot be a grassroots organization without being a nonprofit organization. Likewise, an organization can not be a faith-based organization without being a nonprofit organization.

Also, this grantee did not provide their organization's website address. If this organization has a website address they should provide it and if not, the organization should write "n/a" instead of leaving the box blank.

Types of Organizations Diagram (Slide 13)

We just finished reviewing the Grantee Summary in Part 1, Section 1, which is the portion of the APR used to report basic grantee information. The next section of the APR is used to report basic grantee subrecipient information.   Grantee Subrecipients should not be confused with Project Sponsors. Project sponsors are organizations that directly implement HOPWA activities such as supportive services, housing assistance, or housing placement assistance. Grantee Subrecipients play primary an administrative role.

There are two types of subrecipients found in the APR. Grantee Subrecipients are organizations that assist the grantee by carrying out grantee functions such as evaluation or other administrative services. These subrecipients must be reported in Part 1, Section 2 of the report if they hold a contract or agreement of $25,000 or greater with the grantee. If the subrecipient has an agreement of less than $25,000, the Transparency Act does not require the sub-recipient's identifying information to be reported in Part 1, Section 2; however the sub-recipient's activity and expenditure data must still be included under the relevant grantee activities.

Sponsor Subrecipients are organizations that assist a project sponsor in carrying out project sponsor functions. These organizations typically sub-contract with specific project sponsors and are reported under Project Sponsor Information in Part 5A, Section 2. Sponsor Subrecipients often provide housing assistance or supportive services directly to clients. If the sponsor subrecipient has an agreement of less than $25,000, the grantee and project sponsors are not required to report the sub-recipients identifying information in Part 5A, Section 2; however the subrecipient's performance data must still be include under the relevant sponsor's activities.

Click on the rectangles to see a description of each type of organization.

Part 1, Section 2 Grantee Subrecipient Information

The Grantee Subrecipient Information is reported in Part 1, Section 2 of the APR. Remember, these are organizations that contract with the grantee to provide administrative services, evaluation, or oversight for the grantee. The subrecipient chart on this slide is filled out correctly. Except in rare situations, grantee subrecipients are not required to provide information regarding the primary service area because they do not implement activities directly. Every subrecipient is required to provide an EIN or TIN number. If the subrecipient has a DUNs number they should report it, however in this example, the subrecipient did not have one. The North American Industry Classification System Code (or NAICS Code) is a 6 digit number used by Federal statistical agencies and OMB to classify business establishments. Subrecipients that already have a NAICS code should report it. For more information regarding what a NAICS code is and how to acquire a NAICS code click on the link provided.

Part 2: Grantee Narrative and Performance Assessment

Part 2 of the APR includes the grantee narrative and performance assessment. The narrative gives grantees and sponsors the opportunity to describe their program accomplishments and to compare their accomplishments with the goals proposed in their grant agreement. It provides a place to compare current year results to baseline results for clients.

Use the narrative to explain the basic setup of your program. This is particularly important if your program is setup in an unusual way. When the Office of HIV/AIDS reviews your APR, we look for missing data, and discrepancies between sections. In the narrative, you can explain unusual aspects of the data in the report. If you want to explain why another section of your report might look strange, you should do this in the narrative. Information clarifying issues related to data or program operations should be included at the beginning of the narrative and should be prefaced with an asterisk.

The Barriers and Recommendations portion of the narrative (Part 2C) gives grantees and sponsors a place to describe any obstacles they face implementing their program and to provide recommendations for how to make HOPWA more effective.

An updated Logic Model should be included with your APR. The logic model should include your annual accomplishments under the HOPWA performance goals established in your grant agreement. Make sure that the output and outcome numbers you report in your logic model, match the numbers you are reporting in the rest of your APR, in particular the Performance and Expenditure Information in Part 3 and the Summary of Performance Outcomes in Part 4 of the APR.

Part 2C: Barriers and Recommendations

Under Barriers and Recommendations in Part 2C, please provide as much detail as possible. Describe any barriers encountered by your program, how they affected your program's ability to achieve the objectives and outcomes discussed, actions taken in response to barriers, and recommendations for HOPWA program enhancements. The barriers and recommendations portion of the APR is scrutinized very closely, to shed light on how to improve the program. This information is reviewed both by the national HOPWA office as well as your field office. If you have found a creative way to compensate for a particular barrier, please share it. You might have a strategy, that another grantee will find useful.

When describing the barriers faced, we recommend explaining each barrier in a separate paragraph. Using headings or bold text to highlight the specific barrier can be very helpful. The grantee should then follow the heading with specific examples of how this barrier is impacting their program.

In addition to providing a written narrative, make sure to complete the Barriers Chart which asks you to mark the barriers faced by your program. If barriers are marked, there should be a written narrative included as well. If a written narrative is included, the Barriers Chart needs to be marked.

3 Types of Housing Assistance

Throughout the APR, you will be asked to provide information regarding households that received housing assistance. There are three main types of housing assistance

Under Tenant-based Rental Assistance, rental subsidies are provided to the HOPWA-eligible households and can be used in any eligible unit chosen by the client. If the client moves, the rental subsidy remains with the client and can be used in another unit.

Under the STRMU program, grantees may provide assistance for rent, mortgage, and/or utilities for up to 21 weeks of assistance in any 52-week period (weeks do not need to be consecutive). This type of housing assistance is used to prevent the homelessness of the tenant or owner occupant of a dwelling.

Facility-based housing assistance includes all eligible HOPWA housing expenditures associated with supporting facilities including community residences, SRO dwellings, short-term facilities, project-based rental units, master leased units, and other housing facilities approved by HUD. Facility-based Housing Assistance is divided into permanent facility-based housing assistance and short/term transitional facility-based housing assistance. A permanent facility includes community residences, SRO dwellings, project-based rental units, master leased units, and other housing facilities which provide for continued residency as established by a lease or occupancy agreement. A transitional facility is a term or service limited project that facilitates the movement of homeless individuals and families to permanent housing within a reasonable amount of time (usually 24 months). Facilities with a residential treatment focus are often classified as transitional facilities.

Click on the purple and green shapes for definitions of the various types of housing assistance.

Part 2F: Unmet Housing Needs Chart

The Unmet Housing Need Chart in Part 2, Section F of the APR is where grantees report the unmet housing need of HOPWA-eligible households in their region. All Formula Grantees are required to complete the Unmet Need Assessment. Competitive Grantees are only required to complete the Unmet Need Chart if their program operates in an area not eligible for HOPWA formula funds. This means that if your program's service area is within a formula region, completing the unmet needs assessment is optional. If you are not sure whether your program operates in a formula region, click on the link to the formula jurisdiction map.

Competitive grantees operating within a formula jurisdiction need to mark Box 1a indicating that they are not required to complete this section. Competitive grantees operating within an area not served with HOPWA formula funds need to mark Box 1b, indicating that they are required to complete the unmet needs assessment.

The Unmet Needs Assessment in Chart 2 is simply your organization's best estimate of the unmet need for HOPWA housing support in your jurisdiction. In the Unmet Needs Chart, grantees should report on the number of HOPWA-eligible households that require housing assistance, but are not currently receiving housing assistance. The total unmet need must be reported in the first line of Chart 2. For each household with unmet need, do your best to determine which of three types of housing assistance would best meet their needs. If this household would best be served in Tenant-Based Rental Assistance report them in line a. If the household would best be served in Short-term Rent, Mortgage, and Utility Assistance, report them in line b. Or if the household would best be served in a Housing Facility, report them in line c.

If you are using a data source that does not allow you to separate unmet housing need by type of housing assistance, then you are not required to complete lines a-c of the Unmet Needs Assessment. The most critical information that we are looking for is your service area's total unmet housing need. We encourage you to break apart this need by type of housing assistance if you are able to, but it is not required.

There are a variety of sources you can utilize in order to collect this information. You can use:
> Consolidated Plan unmet need charts
> CPMP estimates
> Data from Housing Planning and Coordination Efforts, e.g. Continuum of Care
> HMIS Data
> CDC or local HIV/AIDS surveillance data
> Waiting lists
> Ryan White Planning Councils/ Care Act data reports
> Data from prisons or jails

If you have questions on how to report unmet need information, contact your TA provider for suggestions on how to obtain and use this data. Once again, households already receiving HOPWA housing should NOT be included in this chart. If households receiving housing assistance have unmet needs, this should be included in the barriers and recommendations portion of the APR.

Congratulations! You have completed Part 1 of the APR Training.

You have completed Part 1 of the APR Training. Part 2 and 3 of the APR Training along with the associated audio text PowerPoints can be found on the HUD HRE website.

HOPWA Reporting using the Annual Progress Report (APR)
Training 2 of 3

Welcome to Part 2 of the HOPWA APR Training Module. Before you begin, here is some information that will help you navigate through the presentation more easily:

The APR Training Module is divided into three parts. Part 2 of the APR Training Module should take approximately 58 minutes to complete.   If you have a question about a specific section of the report refer to slide 2 of this presentation to determine which Training Module you should reference to answer your question. Feel free to skip sections of the guide for which you do not need assistance.

Upon reaching a slide, a sound clip will automatically play. In order to advance to the next slide, click anywhere on the slide with your mouse. You may notice that at the end of each sound clip there are a few seconds of silence. This added silence was necessary to accommodate for a quirk in the PowerPoint platform.   If you wish to skip a slide you may have to click on the slide more than once. Clicking while the sound clip is playing will stop the audio file and you will be required to click a second time to advance to the next slide. To return to the previous slide, right click on your mouse and select "previous slide" from the drop down menu. You can select "Previous" to return to the previous slide, "Next" to advance to the next slide, or you can select "Go To" to skip to a specific slide. To end the slideshow, press Escape (ESC) on your keyboard or right click and select "end show."

You are now ready to begin the training!

The Structure of the APR

The APR is divided into six parts. The second APR Training PowerPoint focuses on Part 3 and Part 4 of the APR.

Part 3 includes household and beneficiary demographic information, leveraging information, and performance and expenditure Information

Part 4 is the HOPWA Performance Outcomes Section. HOPWA's performance outcome measures include maintaining housing stability; improving access to care; and reducing the risk of homelessness for low-income persons living with HIV/AIDS and their families

Part 3A: Information on <u>Individuals</u>, Beneficiaries and Households

Part 3A of the APR asks targeted demographic questions about Individuals, Beneficiaries, and Households receiving HOPWA housing assistance. Housing assistance is considered either tenant-based rental assistance (TBRA), Short-term Rent, Mortgage, and Utility Assistance, or Facility-based Housing Assistance. Demographic information is not collected for those individuals, households, and beneficiaries receiving only supportive services.

When completing Part 3A, the most important thing to keep in mind is who should be included in each section. Section 1 asks questions about Individuals with HIV/AIDS who received HOPWA housing assistance. A HOPWA eligible-individual is a low-income person with HIV/AIDS who qualifies the household for HOPWA assistance. This person may be considered "Head of Household." When the APR asks for information on eligible individuals, report on this person only. If there is more than one person with HIV/AIDS in the household, the additional persons with HIV/AIDS would be considered beneficiaries.   Section 2 asks questions about beneficiaries of HOPWA housing assistance. This includes individuals living with HIV/AIDS and all associated members of their household residing in HOPWA-assisted Housing. Section 3 asks questions about households receiving HOPWA housing assistance. A household can be a single individual living with HIV/AIDS or a family which includes at least one qualifying individual living with HIV/AIDS. Members of a family may be related by ties of blood, marriage, domestic partnership, or other legal means or involve unrelated adults who are presented as a household or individuals deemed to be important to the care or well-being of the household member living with HIV/AIDS. In order to qualify for HOPWA, a household must include at least one individual living with HIV/AIDS , the household must be low-income, and either homeless or at risk of becoming homeless.   In the case of shared housing, report only on the HOPWA qualifying individual and their family-members, as determination of support is based on the family's adjusted income and share of housing costs.

Part 3A: Information on <u>Individuals</u>, Beneficiaries and Households

The first section of Part 3A asks for demographic information on HOPWA-eligible individuals served with HOPWA housing assistance. There are three types of HOPWA housing assistance. These include Tenant-based Rental Assistance or TBRA, Short-term Rent, Mortgage, and Utility Assistance or STRMU, and Facility-based Housing Assistance. Section 1, chart a, asks for a simple count of the number of HOPWA-eligible individuals served with HOPWA housing assistance. Do NOT include individuals receiving only supportive services or housing placement assistance.

In the Special Needs chart or chart b, indicate how many of the individuals served with Housing Assistance fall into each specific special needs category. For definitions of these categories ask your TA provider. When indicating the number of chronically homeless individuals, keep in mind that this question is asking for individuals who were chronically homeless as of the beginning of the program year. If an individual is continuing to receive HOPWA Permanent Housing support from a previous program year, they are no longer considered chronically homeless.

One thing to keep in mind when completing the special needs chart is that the number of individuals you report in each special needs category can not exceed the total number of individuals reported in chart a.

Diagram (Slide 5)

In chart c, indicate the prior living arrangements for all eligible individuals who received HOPWA housing assistance. In the first line, report the number of individuals continuing from the prior program year. These are individuals that received TBRA, STRMU, or Facility-based Housing Assistance in the previous program year. In lines 2-16, report the prior living situation of new individuals you are serving with housing assistance. An individual is considered new, if they were not served in the previous program year. In line 17, report the total number of individuals served with HOPWA housing assistance in this operating year. This number should correspond to the total number of individuals you reported earlier in chart a.

Part 3A: Information on Individuals, <u>Beneficiaries</u> and Households

Report demographic information on the beneficiaries of HOPWA housing assistance in Part 3A, Section 2. Beneficiaries include individuals with HIV/AIDS who qualified the household for HOPWA housing assistance as well as other persons residing with the individual in HOPWA-assisted housing. For each beneficiary reported, you must report their age, gender, race, and ethnicity.

When completing the gender section, grantees should provide clients an opportunity to report their self-identified gender. If the client does not provide this information, grantees should report gender as best they can using available cues such as gender presentation, pronoun preference, or conventional gender-name associations. In order to check that you are reporting the correct number of beneficiaries in each chart, add up the beneficiaries and compare the sum to the total beneficiary count you included in chart a, line 3.

Part 3A: Information on Individuals, <u>Beneficiaries</u> and Households

Race must be reported for each beneficiary served with HOPWA housing assistance under "Total Beneficiaries Served with Housing Assistance." The number of beneficiaries reported in this column must equal the total number of beneficiaries reported in chart a above.

Additionally, you must report beneficiaries that identify as Hispanic or Latino. Beneficiaries that identify as Hispanic/Latino must also identify with a race and should be included in both the highlighted column and the "Total Beneficiaries also identified as Hispanic" column. Clients who wholly identify as Hispanic or Latino should be reported as 'Other Multi-Racial' in the first column and then 'Hispanic or Latino'. (The Race and Ethnicity chart on the APR reflects HUD's Form-27061, which treats ethnicity as a separate category from race.)

Part 3A: Information on Individuals, <u>Beneficiaries</u> and Households

The chart above has been filled out incorrectly in 2 places. Look for the errors, and when you think you have found them, click anywhere on the slide with your mouse to see if you are correct. Errors will appear in red.

The reason the circled information is incorrect is because each beneficiary must identify with a race and be reported in the highlighted column "Total beneficiaries served with housing assistance". You cannot report that households ALSO identify as Hispanic or Latino, if the household does not first identify with a race. Hispanic/Latino Beneficiaries must identify with a race and be reported in both the highlighted column, and the non-highlighted column.

Part 3A: Information on Individuals, Beneficiaries and <u>Households</u>

The final section of the demographic-portion of the APR asks for the area median income for households served with HOPWA housing assistance. Remember that a household can be a single individual living with HIV/AIDS or a family which includes at least one qualifying individual living with HIV/AIDS. Household information is asked for throughout the remainder of the APR and serves as the primary unit of measurement when reporting accomplishment information and outcomes. Individual and beneficiary information is only asked for in the demographic portion of the report.

In order to make sure that you are reporting the correct number of households in the Area Median Income Chart, add up the households and compare the sum to the total number of households reported in the Performance and Expenditure portion of the APR in Part 3C, line 6. Remember, only households receiving housing assistance should be reported in the Area Median Income Chart.

Part 3B: Budget and Grant Sources for Project Leveraging

Part 3B of the APR is used to report on leveraged funds utilized by the grantee and project sponsors to provide housing assistance, supportive services, or housing placement assistance to HOPWA-eligible households. If the administrative costs associated with HOPWA are not covered by HOPWA funds, then any additional sources of funding paying for administration should also be reported. Leveraging information provides HUD and Congress a full picture of your program. For instance, if a sponsor uses HOPWA funds to provide housing assistance and non-HOPWA funds to provide supportive services, the leveraging information you report will illustrate exactly how your program is set up. The leveraging information gives HUD an idea of the community collaborations grantees and sponsors are undertaking, whether or not competitive grantees are able to reach their leveraging goals set out in their grant agreements, and whether they are utilizing a variety of available resources to serve HOPWA-eligible households.

Leveraging includes non-HOPWA cash resources such as program income, federal, state, and local government, foundations and other private cash resources, in-kind resources, resident rent payment, and grantee or project sponsor cash. Common examples of leveraged funds include Supportive Housing Program (SHP); Emergency Shelter Grant (ESG); Shelter Plus Care (S+C); Ryan White CARE Act; HOME, state and local government funds, resident rent payments, program income, in-kind resources, and private philanthropy.

Grantees should report on all sources of leveraging utilized to assist households in their HOPWA program. This means that if a household receives HOPWA housing assistance, but receives their case management through non-HOPWA funding, the non-HOPWA funding should be reported as leveraging. Likewise, if a household receives supportive services through HOPWA, and their housing assistance through non-HOPWA sources, the non-HOPWA funding should be reported as leveraged funding. Be sure to report on the leveraging sources that were included in your grant agreement. If for some reason, you were not able to meet a particular leveraging goal, you might want to explain this in the narrative portion of the report.

Part 3B: Budget and Grant Sources for Project Leveraging

In Chart 1 of the Leveraging Information portion of the APR, report the number of households that received each type of housing assistance through leveraged funds. Only report on households whose housing assistance was wholly funded with leveraged funds, for instance households who received their entire housing subsidy through private foundations or Section 8 subsidies. To avoid duplicating HOPWA households, do not include households that received leveraged funds for only a portion of their housing assistance. Households that received leveraged funds for supportive services only should also not be included in this chart. For Facilities under development with solely leveraged funds, report the units being developed in the last column on the right.

The most common scenario in which households assisted with leveraging for their housing assistance should be reported is when the program is set up so that a set of households receives their supportive services through HOPWA and their housing assistance through a Non-HOPWA subsidy such as Section 8.

If you report that households were assisted with housing assistance through leveraged funding, you must report the sources of funding and leveraged dollars going towards housing assistance in Part 3B, Chart 2, column 2. You can see this chart on the next slide.

Part 3B: Budget and Grant Sources for Project Leveraging

In Chart 2 in the Leveraging portion of the APR, identify the type and source of leveraged funding used to perform HOPWA-eligible activities. Competitive Grantees are required to report leveraged resources consistent with commitments made and approved in their grant agreement. If the grantee is unable to meet a specific leveraged commitment, competitive grantees should report on any additional funds that they agreed to leverage as a replacement.   Additionally, both formula and competitive grantees should report on all non-HOPWA funding utilized to serve households in their HOPWA program. This includes non-HOPWA funds leveraged to provide housing assistance, supportive services, or housing placement assistance as well as non-HOPWA funds used to administer their HOPWA program.

In line 1, under Program Income, report on any gross income directly generated from the use of HOPWA funds, including repayments. An example of Program Income could be the return of a security deposit by a landlord to the grantee or project sponsor, or coins from washing machines in facilities receiving HOPWA operating subsidies.

Under federal government, state government, local government, and foundations, you should list all of the sources of leveraging used. You may need to add rows to the table if there is not enough room. For line 5 "Foundations and other private cash resources" be as specific as possible, without going overboard. You do not need to report every $100 donation you receive. For large donations, report the source and funding amount separately; however, for smaller contributions, you can simply write "private donations" and group these smaller contributions together. Under "In-Kind Resources" include meals, furniture, volunteer time, and other non-monetary leveraged sources. Estimate the monetary value of these in-kind resources.

In line 7, projects providing TBRA, Project-based Housing Assistance, Master-leasing or using facilities must report on all rent contributions made by households receiving this assistance. This should include payments received and used by the grantee or project sponsor and any representative payee services. This would also include resident rent payments made directly to landlords.   If you do not complete this line, this indicates that none of the households you served with housing assistance made a rent contribution. HOPWA regulations mandate that households in TBRA and Facility-based Housing Assistance make a rent contribution equal to 30% of adjusted household income. If this leveraging line is not completed, this would suggest either a lack of required assessments for resident rents, or that all of the households you serve do not have enough income to make a contribution. If the latter is the case, please note in your Barriers and Recommendations section that all clients have no income.

In Column 2 under the header "Housing Assistance", report leveraged dollars that went towards providing housing assistance to HOPWA eligible households.

In column 3, report on leveraged funds that went towards supportive services and other non-direct housing costs. Non-direct housing costs can include housing information services, permanent housing placement services, administration, resource identification, program evaluations, etc. Speak with your technical assistance provider if you have a question regarding the definition of "non-direct housing costs."

Leveraging Diagram (Slide 13)

Has the chart on this slide been filled out correctly? Click on the slide with your mouse to find out.

This report is filled out incorrectly. This grantee is reporting that 22 households were assisted with leveraged funds for housing assistance, but that $0.00 were leveraged for housing assistance. Households should only be reported in Chart 1, if they were assisted entirely with leveraged funds for Housing Assistance. Households assisted with leveraged funds for supportive services should not be reported.

Leveraging Diagram (Slide 14)

Has the chart on this slide been filled out correctly? Click on the slide with your mouse to find out.

This report is correct. This grantee did not leverage funds to provide housing assistance. Households should only be reported in Chart 1 if households were assisted entirely with leveraged funds for Housing Assistance.

Part 3C: Performance and Expenditure Information

After completing the leveraging information in Part 3B, the focus of the APR turns to HOPWA-funded activities and expenditures. In the Performance and Expenditure Chart in Part 3C, grantees report the number of households receiving each type of HOPWA assistance and the amount of HOPWA funds expended for all grant activities. In the case of development projects, grantees report the number of units developed along with the amount of HOPWA funds expended. Grantees are also required to report on stewardship units, which are units developed with HOPWA funds, subject to use periods of 3 or 10 years, that no longer receive operating subsidies or other HOPWA funding. The Performance and Expenditure Information Chart asks you to report on housing outputs. To clarify, an output is simply the number of households or units of housing that receive HOPWA housing assistance during the operating year. Later in the report, you will be asked to report on housing outcomes. Housing outcomes include information on how effective your program was in enabling households to establish or maintain a stable living situation and in preventing homelessness.

In the Performance and Expenditure Chart, you should report on all HOPWA activities performed, regardless of whether your grant was budgeted to provide these services. Ideally, expenditures will match the line-items outlined in the budget, however, grantees are required to report actual expenditures whether they match the proposed budget or not.

For each HOPWA activity that you are required to report on, the household count should represent an unduplicated number of households assisted during the operating year. This may require your project sponsors to coordinate with each other to determine if they are serving any of the same households with housing support. For instance, if a household receives TBRA from one of your sponsors at the beginning of the program year, and then receives TBRA at the end of the program year from another sponsor, you would only want to report this household once in the Performance and Expenditure Chart under TBRA. Additionally, if a household utilized STRMU multiple times within an operating year, this household should only be reported once. The Performance and Expenditure Chart is not asking for the number of payments, but rather an unduplicated count of the number of households that received STRMU. In the case of Housing Information Services, Permanent Housing Placement Assistance, and related services, you may estimate the number of households receiving services from more than one sponsor.

Data reported in the Performance and Expenditure Chart Part 3C should equal the combined total of what the Project Sponsors report in Part 5. This means that when you add up the project sponsor information, the sum for each activity should correspond with the cumulative total being reported in the Performance and Expenditure Chart. For instance, if one project sponsor served 3 households with TBRA, and the other sponsor provides 4 different households with TBRA, then the total number of households reported in the Performance and Expenditure chart for TBRA should be 7. The same is true for the expenditure information.

Facility-based Housing Assistance Diagram (Slide 16)

The Performance and Expenditure Chart in Part 3C separates Facility-based Housing Assistance into four categories. The primary division is between transitional facilities and permanent facilities. A permanent facility includes community residences, SRO dwellings, project-based rental units, master leased units, and other housing facilities which provide for continued residency as established by a lease or occupancy agreement. A transitional facility is a term or service limited project that facilitates the movement of homeless individuals and families to permanent housing within a reasonable amount of time (usually 24 months). Facilities with a residential treatment focus are often classified as transitional facilities.

The next division is between facilities developed with capital funds and placed in service during the operating year, and facilities that received operating subsidies and leased units. Facilities developed with capital funds are units where HOPWA funds were used for their acquisition, new construction, or rehabilitation. If these units open during the operating year and begin housing clients, all costs associated with their development and operation are lumped together under the category "Facilities developed with capital funds and placed in service during the operating year". Facilities that received operating subsidies only, i.e. did not receive development funds, should be reported under the category of "Facilities that received operating subsidies/leased units".

Project-based rental assistance is a type of housing assistance where rental subsidies are provided to households in particular units in specific buildings. When the residents move, the rental subsidy remains with the unit to be used by the next eligible household. If the lease of an apartment is in the name of the grantee or sponsor agency, the apartment should be considered a facility for the purposes of reporting. Households in these units would fall under the category "Facilities that received operating subsidies and leased units" If you have questions regarding how to classify the types of housing assistance your program provides, please contact your TA provider.

Part 3C: Performance and Expenditure Information

In the first four lines of the Performance and Expenditure Chart, you should report the number of households and the amount of HOPWA funds expended for each type of housing assistance. If you report that households received housing assistance, you must also report the amount of HOPWA funds expended. If you report HOPWA expenditures, there must be households associated with these costs. This rule holds throughout the entire report. If HOPWA funds are being utilized to provide housing assistance, supportive services, or housing placement assistance, you must report the number of households served with these funds. Likewise, if a household receives a specific supportive service, for example transportation, or substance abuse counseling, you must track and report the expenditures associated with providing these services.

For each type of housing assistance, report an unduplicated count of the number of households receiving assistance. For households in facilities developed with capital funds and just opened within the program operating year, only report them once in either line 3a under permanent facilities or in 3b under transitional facilities. Even though the recently-opened facility may have also received operating subsidies, the households and expenditures associated with these units should only be included in one line.

In Line 6 of the Performance and Expenditure Chart, report the total number of households that received housing assistance. The total household number you report should be unduplicated. If a household switched from one type of housing assistance into another type of housing assistance within the program year, adjust for duplication in line 5. The adjustment for duplication enables the calculation of an unduplicated total household number by accounting for the total number of households that received more than one type of assistance.

In the example given on this slide, the grantee is reporting an adjustment for duplication of 5. This typically means that 5 households switched from 1 type of housing assistance to another, for instance from STRMU to TBRA. If the same 5 households received TBRA and STRMU, you would report the 5 households under both TBRA and under STRMU. In order to make sure that you are reporting an unduplicated total number of households, you would need to adjustment for duplication in line 5. The yellow box on the slide, gives you a formula to check your data.

Occasionally you might have a household that received three types of housing assistance within a given program year. For instance, a household could potentially receive STRMU, TBRA, and Transitional Facility-based Housing Assistance within 1 program year. In this case the adjustment for duplication you would include for this household in order to calculate an unduplicated total household count would be 2.

After reporting households in column 1, you must report the HOPWA funds expended within the program year to provide each type of housing assistance. Report the actual amount expended within the program year for each activity. Do not base the expenditures column on draw downs. Ideally, the amount of funds drawn down during the program year would correspond with the actual funds expended, however typically there is a lag between when funds are expended and when funds are drawn down. Report actual expenditures.

Part 3C: Performance and Expenditure Information

There are two reporting errors on this page. First try to identify the error. Make a guess, and click the slide to see if you are correct. Errors will appear in red.

Notice that in line 2a the grantee reported that 3 households received HOPWA-funded permanent facility-based housing assistance, however, the grantee did not report the amount of HOPWA funds expended on permanent facility-based housing assistance. If households were served with HOPWA-funded housing assistance, you must report the costs associated with these activities.

Likewise, in line 3b the grantee reported that $15,000 HOPWA dollars were spent to provide transitional/short-term facility-based housing assistance, however, the grantee reports that 0 households received HOPWA funded transitional/short-term facility-based housing assistance.   If the grantee spends HOPWA dollars on a particular activity, there must be households benefiting from these funds.

Part 3C: Performance and Expenditure Information

For Capital Development Projects, report the number of units being developed with capital funding, but not yet opened as of the end of the program year. These are units receiving HOPWA funds for acquisition, rehabilitation, or construction. Report the development costs in column 2.   Units that have opened within the program year and have begun to serve clients should not be reported in this section. Refer to slide 17 for information on where to report facilities opening within the program year.

Report all stewardship units in line 8. Stewardship Units are units developed with HOPWA funds and subject to use periods, but are no longer receiving HOPWA funding for their operation or development. These units are subject to ten-year use agreements for acquisitions, new construction, and substantial rehabilitation and three-year use agreements if rehabilitation is non-substantial. You must keep track of these units and continue serving HOPWA-eligible households, even if HOPWA funds are not being used to support these units. Later in the report, each sponsor will include stewardship certificates for each of their stewardship facilities. The number of stewardship units reported by your project sponsors must correspond to the units reported in the Performance and Expenditure Chart.

Supportive Services Diagram (Slide 20)

For the purposes of HOPWA reporting, the Office of HIV/AIDS Housing separates project sponsors into two categories. Project sponsors that provide housing assistance are grouped together, and project sponsors that provide only supportive services are grouped together. If a project sponsor provides both housing assistance and supportive services they fall into the first group and are considered a project sponsor that provides housing assistance. This means that if a sponsor provides only 1 household with housing assistance, they are still categorized as a sponsor that provides housing assistance.

When reporting the number of households that received HOPWA-funded supportive services, separate households based on which type of sponsor they received their services from. If a project sponsor provides HOPWA housing assistance, report all households they served with supportive services in line 10a. If a project sponsor provides only supportive services, report all households they served with supportive services in line 10b.

If households received supportive services from more than 1 type of sponsor, you should estimate and adjust for duplication in line 11, so that the total number of households you report in the line entitled "Total Supportive Services" is unduplicated. For instance, if a sponsor that also provides HOPWA housing assistance provides case management to a household, and a project sponsor that is only contracted to provide supportive services provides substance abuse counseling to the same household, you would adjust for duplication to the degree possible so that your total count of households receiving supportive services is unduplicated.

Part 3C: Performance and Expenditure Information

In the Project Sponsor Information portion of the APR, project sponsors are required to report on the households they served with supportive services. In Part 5D Chart 1, each project sponsor must select whether they are a project sponsor that provides HOPWA housing assistance or a project sponsor that is contracted only to provide supportive services. If a sponsor marks box a, all households they serve with supportive services must be reported in line 10a. If a sponsor marks box b, all households they serve with supportive services must be reported in line 10b.

In the scenario on this slide, the project sponsor marked box b in Part 5D to indicate that they are a project sponsor that only provides supportive services. This sponsor does not provide any housing assistance whatsoever. Therefore, all households that received supportive services from this sponsor must be reported in line 10b of the Performance and Expenditure Chart. If there are multiple project sponsors, each project sponsor will complete a separate supportive services chart and then the grantee can add the households served into the appropriate line, either 10a or 10b, depending on which box each project sponsor marked.

Part 3C: Performance and Expenditure Information

The Chart above has been filled out incorrectly. Try to find the error. To see if you are correct, click on the slide with your mouse. The mistake will appear in red.

The grantee that completed this section of the Performance and Expenditure Chart did not understand the purpose of the adjustment for duplication. The adjustment for duplication is supposed to enable the calculation of an unduplicated supportive services total by accounting for the number of households that received supportive services from more than 1 type of project sponsor. In this case, the grantee is reporting that all 60 households received supportive services from the same type of project sponsor. The only time you would need to adjust for duplication is if the same households were reported in both line 10a and 10b.

If a household is served by two different project sponsors of the same type, then this household would only be reported once in the Performance and Expenditures Chart. For instance, if a household receives supportive services from 2 sponsors, and the 2 sponsors both provide HOPWA housing assistance, this household would only be included once in line 10a. There would not be a need for an adjustment for duplication in line 11 because the grantee should already have de-duplicated. The only time an adjustment for duplication would be needed is if a household is included in both 10a and 10b- meaning that the household received supportive services from 2 different types of sponsors and is included twice in the chart.

Permanent Housing Placement Assistance Diagram (Slide 23)

This slide shows a continuation of the Performance and Expenditure Chart. In this subsection, you should report on housing placement assistance activities provided within the program year. Housing Placement Assistance includes Housing Information Services and Permanent Housing Placement Services. Housing information Services includes housing counseling, housing advocacy, information and referral services, fair housing information, housing search and assistance. Permanent Housing Placement is a supportive housing service that helps establish the household in the housing unit, including, but not limited to, reasonable costs for security deposits not to exceed two months of rent costs.

This information should be tracked separately from general case management. For each of these activities report the number of households that received these services and the costs associated with providing these services. You must report expenditures. This might require that you pro-rate the time spent by staff to provide these activities. Work with your TA providers to come up with a system to track these costs. Make sure that you adjust for duplication in line 15 if households received both Housing Information Services and Permanent Housing Placement Services. This adjustment for duplication ensures that the total number of households you report as having received housing placement assistance in line 16 represents an unduplicated number of households.

Part 3C: Performance and Expenditure Information

For the remainder of the Performance and Expenditure Chart or Part 3C, report on grant administration and other activities. Make sure that for each line item, the expenditures you report correspond with the cumulative totals of your project sponsor data in Part 5D. Resource Identification costs in line 17 should include costs to develop housing assistance resources, outreach and relationship-building with landlords, costs involved in creating brochures, web resources, and time to locate and identify affordable housing vacancies. In line 22, only include "Other Activity" costs if the other activity was approved in your grant agreement. Do not use this line as a catch-all for costs that you were unable to categorize. Work with your TA provider if you are having difficulty categorizing costs. Specify exactly what "other activity" you were funded to provide.

At the bottom of the page, report your total HOPWA expenditures during the program year. The total HOPWA Funds Expended should equal the sum of your subtotals in lines 6, 9, 12, 16, and 23.

Part 4, section 1: HOPWA Performance Outcomes- Housing Stability

While the Performance and Expenditure Chart provides valuable information regarding HOPWA housing outputs, it does not provide a measure for determining the effectiveness of HOPWA in meeting the goals of improving client's housing stability, health status, and quality of life. The client outcome data in Part 4 fills in the gap and helps show HUD your current assessment of what happens to participants as a result of HOPWA program efforts.

There are three outcome indicators for HOPWA. One of HOPWA's primary goals is to assist households in establishing or maintaining stable housing. Section 1 of the Performance Outcome Section asks grantees to report on households receiving housing assistance and their housing situation at the end of the program year or as known when they exited.

In section 2, grantees are asked to report their outcomes in reducing the risk of homelessness for households receiving Short-term Rent Mortgage and Utility Assistance, and in Section 3, grantees provide information on the status of households in terms of their ability to access benefits, health care services, and other support.

Part 4, section 1: HOPWA Performance Outcomes- Housing Stability

For each household that received HOPWA-funded tenant-based rental assistance, report on their housing situation at the end of the program year, or as known when they exited. You must report an outcome for each household. Notice that the first column in the Performance Outcomes chart contains a simple count of the number of households that received TBRA. This household number must equal the TBRA output number you report in the Performance and Expenditures Chart, in Part 3C.

Part 4, section 1: HOPWA Performance Outcomes- Housing Stability

For each household that received TBRA during the program year, report on their housing situation at the end of the program year, or as known when they exited. If a household is continuing in TBRA as of the end of the program year, report the household in column 2. If a household exited TBRA to some other result, report their housing status after exiting in column 3. To make sure that you are reporting outcomes for every household, add up the outcomes you are reporting in column 2 and 3. The sum of households reported in columns 2 and 3 must equal the total number of households reported in column 1. This same principle applies for Permanent Facility-based Housing Assistance.

In this example, a total of 25 households were served with Tenant-based Rental Assistance. 18 of these households were continuing with TBRA at the end of the program year and 7 of these households exited TBRA. The sum of households in column 2 and 3 equals the number of households reported in column 1.

Part 4, section 1: HOPWA Performance Outcomes- Housing Stability

For households that have exited, report the housing situation to which they exited in column 3. Most of the options are fairly straightforward, however if you are uncertain of where to report a household, please contact your TA provider. The category 'temporary housing' is typically used when a household gives up their lease and moves in with family or friends but expects to live there less than 90 days.

The category "Other HOPWA" can be used in one of two situations. The first is when a household exits one type of housing assistance for another type of housing assistance. For instance, if a household receiving STRMU transitioned to TBRA, you would mark "Other HOPWA." Information on this household would then also be reported under TBRA outcome data.

You would also mark "Other HOPWA" if a household transitions from receiving housing assistance under your HOPWA grant to receiving housing assistance under another HOPWA grant. This household would also be reported by the other grantee.

The category "Other subsidy" refers to households that exit HOPWA for some other type of housing subsidy, for instance, Section 8, HOME, Shelter Plus, etc. The category "disconnected/unknown" should only be used for households that you were unable to track, despite your best efforts.   While it is not uncommon to report households as "disconnected," this category should not be used as a catch-all. A large disconnected number sends up a red flag because sponsors and case managers are required to track household stability outcomes.

Part 4, section 1: HOPWA Performance Outcomes- Housing Stability

For each household that received HOPWA-funded Permanent Facility-based Housing Assistance, report on their housing situation upon exiting the program or at the end of the program year. You must report an outcome for each household. The first column in the Performance Outcomes chart in Part 4, contains a simple count of the number of households that received Permanent Facility-based Housing Assistance. This household number must correspond to the Permanent Facility-based Housing output number you report in the Performance and Expenditures Chart, in Part 3C, lines 2a and 3a.

Part 4, section 1: HOPWA Performance Outcomes- Housing Stability

For each household that received HOPWA-funded Short-term/Transitional Facility-based Housing Assistance, report on their housing situation upon exiting the program or at the end of the program year. You must report an outcome for each household. The first column in the Performance Outcomes chart in Part 4, contains a simple count of the number of households that received Short-term/Transitional Facility-based Housing Assistance. This household number must correspond to the transitional facility-based housing output number you report in the Performance and Expenditures Chart, in Part 3C, lines 2b and 3b

Part 4, Section 1: HOPWA Performance Outcomes- Housing Stability

For each household that received Transitional Facility-based Housing Assistance, you must report their housing status when they exited or at the end of the program year. In column 1, report the total number of households that received Transitional Facility-based Housing Assistance. If the household will continue in the next program year, report them in column 2, in the top highlighted box. If a household exited Transitional Facility-based Housing Assistance, report the housing situation to which they exited in column 3.

In the scenario on this slide, 50 households were served with Transitional/Short-term Facility-based Housing Assistance during the program year. 25 of these households were continuing at the end of the program year. 10 households exited and left for an emergency shelter, 10 left for "Other HOPWA" and 5 passed away. This grantee reported correctly, because there is an outcome for each household.

Part 4 Outcomes- , Section 2: HOPWA Performance Prevention of Homelessness

In Part 4, Section 2 of the APR, report on the outcomes of households that received Short-term Rent, Mortgage, and Utility Assistance or STRMU during the operating year. Outcomes should be based on the household's housing situation at the end of the program year or as known when last receiving STRMU support. You should only include one outcome for each household, even if the household received multiple STRMU payments. If the household is still in the STRMU program at the end of the program year, then you should include an assessment of their housing status as of the end of the program year. If the household exited in the middle of the program year, then you should report an assessment of their housing status as known, such as the status at the time they last received a STRMU payment.

Part 4, Section 2: HOPWA Performance Outcomes

For each household that received HOPWA-funded Short-term Rent Mortgage and Utility Assistance, report on their housing situation at last contact or at the end of the program year. You must report an outcome for each household. The first column in the Performance Outcomes Chart in Part 4, contains a count of the number of households that received STRMU. This household number must correspond to the STRMU output number you report in the Performance and Expenditures Chart, in Part 3C, line 4.

Part 4, Section 2: HOPWA Performance Outcomes- Prevention of Homelessness

In Part 4, Section 2, the grantee is asked to report outcomes for households receiving STRMU. In column 1, report the number of households that received STRMU during the program year. A household should only be reported once, even if the household received multiple STRMU payments.   In column 2, report an outcome for each household that received STRMU during the grantee reporting year. The number of households reported in column 2, must equal the number of households in column 1.

If you have a question regarding use of the housing status categories in column 2, please ask your TA provider. Most of the categories are identical to the categories discussed earlier on slide 28. To clarify, the category "Maintain private housing without subsidy" should be used to report households that had received STRMU and are reasonably known or expected to be able to afford to stay in their house or apartment without a subsidy. The category "Other Private Housing without Subsidy" refers to households that had received STRMU, moved to a new house or apartment, and are currently not receiving a subsidy or expected to request support. If relocation is temporary, (no more than 90 days), that status should be reported as a "Temporary/Non-Permanent Housing arrangement".   Some STRMU recipients may need additional housing support. If this is the appropriate assessment of their status (as reasonably known at last contact) then report in the "Likely to maintain current housing arrangements, with additional STRMU assistance" category.

After completing the assessment of housing status for each household that received STRMU, there are two questions at the bottom of the chart that need to be answered. In Row 1a, enter the total number of households that received STRMU in the prior program year as well as the current program year. In Row 1b, enter the total number of households that received STRMU Assistance in the 2 prior operating years as well as the current program year. The number of households reported in Row 1b can not exceed the number of households reported in Row 1a.   To give an example, if submitting a report for Program Year 2009, report in row 1a households that received STRMU in both PY 2009 and PY 2008. In Row 1b report households that received STRMU in PY 2009 as well as PY 2008 and PY 2007. In order for a household to be reported in row 1b, the household must have received STRMU in all three program years.

Part 4, Section 3: HOPWA Performance Outcomes- Access to Care and Support

One of HOPWA's primary goals is to increase client access to appropriate healthcare and supportive services. HOPWA's emphasis on stable housing is predicated on the idea that a stable housing situation serves as a base that allows clients to better access medical care and support. In Part 4, Section 3, grantees report at the end of each year on households that demonstrated improved access or continued access to care and support by having a housing plan, having contact with a case manager or benefits counselor, visiting a primary health care provider, accessing medical insurance or assistance, accessing or qualifying for income benefits and obtaining an income-producing job. By reporting Access to Care outcomes, grantees are able to demonstrate their program's success in stabilizing households, so that clients can better access needed care and support.

Part 4, Section 3: HOPWA Performance Outcomes- Access to Care and Support

For each household that received HOPWA-funded housing assistance you are required to report your assessment as known at last contact on their ability to access benefits, health care services, and other support in Part 4, Section 3, Chart 1A. You are required to report access to care outcomes for households that received HOPWA housing assistance, i.e. STRMU, TBRA, or Facility-based Housing Assistance, even if the household received their case management through non-HOPWA sources. This may require you to coordinate with other organizations to collect this information.

When completing the Access to Care Outcome section, if you are unsure of what is considered a "source of income" or a "source of medical insurance", please refer to Charts 1C and 1D in the APR. These charts give specific examples of different sources of income and sources of medical insurance. You can also refer to slide 38 of this training to see these charts.

In Chart 1B, you should report on the number of households with individuals that obtained an income-producing job as a direct result of HOPWA-funded job training, employment assistance, education, or related case management. If more than one person in the household obtained an income-producing job you should still only count this household once.   Chart 1B is asking only about households that received HOPWA housing assistance as well as HOPWA-funded job training, employment assistance, education, or case management.

The number of outcomes you report in Chart 1A, and 1B of the Access to Care Section must not exceed the total number of households reported to have received housing assistance in Part 3C, line 6 of the Performance and Expenditures Chart. In the example on this slide, the grantee reported that 15 households received HOPWA-funded housing assistance. In the Access to Care section of the report, the grantee reported outcomes for these households. None of the lines in the Access to Care Outcome Section exceed 15, because only 15 households received housing assistance.

Part 4, Section 3: HOPWA Performance Outcomes- Access to Care and Support

In the Performance and Expenditures Chart in Part 3C, line 10b, you are required to report a reasonable estimate of unduplicated households that received supportive services from project sponsors that provided only supportive services. In the example on this slide, 35 households received supportive services from this type of sponsor. In the Access to Care Outcome Section, in Part 4, Section 3, Chart 2A and 2B, you should report access to care outcomes for these households if the services provided involved case management or housing placement support. Reporting Access to Care Outcomes on households receiving only other supportive services such as mental health services or transportation is optional. The number of households reported in each line of Chart 2a and 2b in the Access to Care Section must not exceed the number of households reported in line 10b of the Performance and Expenditures portion of the report.

In Chart 2B, you should report on the number of households with individuals that obtained an income-producing job as a direct result of HOPWA-funded job training, employment assistance, education, or related case management. If more than one person in the household obtained an income-producing job you should still only count this household once.   Chart 2B is asking only about households that received these services from sponsors funded only to provide supportive services.

When completing this section, if you are unsure of what is considered a "source of income" or a "source of medical insurance" please refer to Charts 2C and 2D in your APR. These charts are included on slide 38.

Part 4, Section 3: HOPWA Performance Outcomes- Access to Care and Support

When completing the Access to Care Outcome Section in Part 4, Section 3, refer to the Sources of Income List in Chart 1C and 2C and the Sources of Medical Insurance and Assistance List in Chart 1D and 2D.

Congratulations! You have completed Part 2 of the APR Training.

You have completed Part 2 of the APR Training. Part 3 of the APR Training along with the associated audio texts can be found on the HUD HRE website.

HOPWA Reporting using the Annual Progress Report (APR) Training 3 of 3

Welcome to Part 3 of the HOPWA APR Training Module. Before you begin, here is some information that will help you navigate through the presentation more easily:

The APR Training Module is divided into three parts. Part 3 of the APR Training Module should take approximately 35 minutes to complete.   If you have a question about a specific section of the report refer to slide 2 of this presentation to determine which Training Module you should reference to answer your question. Feel free to skip sections of the guide for which you do not need assistance.

Upon reaching a slide, a sound clip will automatically play. In order to advance to the next slide, click anywhere on the slide with your mouse. You may notice that at the end of each sound clip there are a few seconds of silence. This added silence was necessary to accommodate for a quirk in the PowerPoint platform.   If you wish to skip a slide you may have to click on the slide more than once. Clicking while the sound clip is playing will stop the audio file and you will be required to click a second time to advance to the next slide. To return to the previous slide, right click on your mouse and select "previous slide" from the drop down menu. You can select "Previous" to return to the previous slide, "Next" to advance to the next slide, or you can select "Go To" to skip to a specific slide. To end the slideshow, press Escape (ESC) on your keyboard or right click and select "end show."

You are now ready to begin the training!

The Structure of the APR

The APR is divided into six parts. The third APR Training PowerPoint focuses on Part 5 and Part 6 of the APR.

Part 5 is the Project Sponsor Information Section in which each project sponsor reports its performance and expenditure data.

Part 6 is an optional worksheet grantees can use to assess their program's housing stability outcomes.

Part 5: Project Sponsor Information

When submitting your APR, please include a separate Sponsor Section for each of your project sponsors. Each sponsor must report on their HOPWA activities in Part 5A through 5E. For instance, if a grantee utilizes 4 project sponsors, there will be 4 Part 5As, 4 Part 5B's, etc. If a particular section is not relevant, for instance if a sponsor does not provide Facility-based Housing Assistance, it is still necessary to include all sections of the report. In this case, this sponsor would leave Part 5C blank, or mark "n/a." They are still required to submit all sections.

When submitting your APR to HUD, keep each project sponsor's information separate. Order your sponsor information in the following way; 5A, 5B, 5C, 5D, 5E for your first sponsor, followed by 5A, then 5B, then 5C, then 5D, then 5E for your second sponsor, etc. Do not group each section of Part 5 together. 5A, 5A, 5A, 5B, 5B, 5B, 5C, 5C, 5C, etc. would be incorrect. HUD needs to be able to identify which project sponsor performed which activity.

If the Grantee implements the program directly, for instance if the grantee provides supportive services or housing assistance directly to households, you must fill out an entire Part 5 for the grantee as well. Part 5A must be completed for grantees directly implementing the program, even though most of the information was already collected in Part 1 of the APR. It is important for these grantees to report on their activities in Part 5, so that when each line item in Part 5 is summed, the total corresponds to the grant-level information reported in the Performance and Expenditures Chart.

The diagram on this slide shows a common method used by grantees to collect data from project sponsors. Many grantees require that their project sponsors complete an entire APR, so that they can compile sponsor level data into one APR or CAPER to submit to HUD.

Part 5A: Project Sponsor Information

Complete Part 5A for each project sponsor. Remember that a project sponsor is an organization that contracts with the grantee and directly serves clients by providing housing assistance, supportive services, or housing placement assistance. If a grantee implements the program directly, complete Part 5A for the grantee as well. Do not leave any question unanswered. If something doesn't apply to a particular project sponsor, simply write "n/a" in the box. For instance, if the project sponsor does not have a DUNs number or an email address, write "n/a" in the box.

All project sponsors must provide an Employer Identification Number or a Tax Identification Number. The DUNs number only needs to be completed if the organization has a DUNs number. For more information on these numbers, click on the links.

Next, all project sponsors must provide their Congressional District of Address. This is the congressional district where the grantee organization is physically located. All project sponsors and grantees directly implementing their program must report their Primary Service Area information. Report on all Congressional Districts of Primary Service Area. When reporting zip codes of Primary Service Area, you are required to report on the top 5 zip codes served in your Primary Service Area. You do not need to list every zip code if this would involve writing out dozens or hundreds of zip codes, although you are encouraged to provide as much information as possible. You are required to report on all Cities and Counties of Primary Service Area. If you serve an area with dozens or hundreds of cities, then abbreviate by writing "all cities in _____ county."

The Primary Service Area(s) is not only the area where the organization is currently serving clients, but also any area where the organization is able to serve clients or would serve clients. For instance, if an organization is responsible for serving 3 counties, but currently only serves clients in 2 counties, ALL 3 counties need to be reported under Counties of Primary Service Area.

Next, report the "Total HOPWA contract amount." This number can be found in your grant agreement. This should be the total HOPWA Contract Amount for this particular program year. If the organization has a three year contract, simply divide the contract amount by 3. The same idea would apply for other multi-year contracts. Divide the total contract amount by the number of years in the contract. Every organization must provide a website address. If your organization does not have a website address, put "n/a". Do not leave this box blank. If your organization maintains a waiting list, make sure to explain in your narrative (Part 2) how the list is administered. You must mark either yes or no.

For the question about the sponsor's nonprofit status, the grantee must mark either yes or no. Check with your TA provider if you are confused about your organization's nonprofit status. A government agency is NOT considered a nonprofit organization. If the sponsor marks yes, this indicates that the sponsor is a nonprofit organization. The sponsor must further indicate whether it is a faith-based organization and whether it is a grassroots organization. Check all that apply. It is possible for the sponsor to mark that they are both a faith-based organization and a grassroots organization. A grassroots organization is an organization headquartered in the local community where it provides services, has a social services budget of $300,000 or less annually, and six or fewer full-time equivalent employees. Local affiliates of national organizations are not considered "grassroots." If you have further questions regarding your organization's classification, please contact your TA provider.   You may also refer to your grant application, which should have also included your organization's nonprofit status.

Part 5B: Project Sponsor Information for TBRA and STRMU Housing Assistance

Complete Part 5B for each project sponsor and for the grantee if the grantee directly implements their program. If a project sponsor did not provide TBRA or STRMU, submit a blank page or write "n/a." In Chart 1, line a, report the number of households assisted with Tenant-based Rental Assistance along with the associated expenditures. Most project sponsors do not provide "Other Rental Assistance" and will not complete Chart 1, line b. A project sponsor should know if they are approved in their grant agreement to provide "Other Rental Assistance." Project-based Rental Assistance and master-leasing are not included in this category.

In Chart 2, line a, report the number of households who received STRMU assistance along with the associated expenditures. In line b, report the number of households that received mortgage and or/utility payments. The households and expenditures reported in line b, can not be larger then the households and expenditures reported in line a. Line b is a subset of line a.

Part 5B: Project Sponsor Information for TBRA and STRMU Housing Assistance

There are two errors on this page. Look for the errors, make a guess and click the slide with your mouse to see if you are correct. Errors will appear in red.

In Chart 1, the grantee is reporting in line a that they provided 15 households with Tenant-based Rental Assistance, however, in line c, they are not reporting the total number of households served with TBRA. While this is most likely a small oversight, we can not make any assumptions when reviewing your report.

In Chart 2 line a, the grantee is reporting that $20,000 was spent on Short-term Rent, Mortgage, and Utility Assistance, however in line b, the grantee reports that $31,000 was spent on mortgage and/or utility assistance. The cost of providing mortgage and utility assistance can not be larger than the cost of providing Short-term Rent, Mortgage, and or Utility assistance. Line b is a subset of line a.

Part 5B: Project Sponsor Information for TBRA

In the Performance and Expenditure Chart in Part 3C you will be asked to provide the cumulative number of households and expenditures for each type of HOPWA-Activity. Each line item in Part 3C must equal the sum of the corresponding line items in Part 5. In other words, when you add up the households and expenditures reported by your project sponsors in Part 5, this should equal the grantee-level cumulative household and expenditure data reported in Part 3C.

In the example on this slide, this grant had three project sponsors that provided TBRA. Each project sponsor is required to submit a separate Part 5B to report the households they served. When you add up the number of households that received TBRA and the associated costs, the 3 project sponsors served a total of 30 households for a cost of $115,000. This cumulative total must also be reported in the Performance and Expenditure Chart in Part 3C.

Just to remind you, when you submit your APR to HUD, do not group sections in the way displayed on this screen. You should not group all Part 5Bs together. Rather you should report 1 project sponsor at a time. Your report should be in the format Part 5A, Part 5B, Part 5C, Part 5D, Part 5E, for the first sponsor, then include the next sponsor, etc.

Also, occasionally it is possible for the sum of your sponsor sections to differ from the cumulative totals reported in the Performance and Expenditure Chart. This can happen when more than one sponsor provides the same household with a particular type of HOPWA activity during the same program year. For instance, if 3 households received TBRA from Sponsor B and then transitioned to TBRA under Sponsor A later in the program year, you, as the grantee, would only report these 3 households one time in the Performance and Expenditure Chart. While your sponsor data would sum to 6 households, you would only report 3 households when reporting cumulative information in the Performance and Expenditure Chart. For this reason, it is important that you establish a system to keep track of households being assisted by multiple sponsors. If you do not currently track this information, refer to your TA provider for guidance.

Part 5C: Project Sponsor Information for Facility-Based Housing Assistance

Sponsors and grantees directly implementing their program report on Facility-based Housing Assistance in Part 5C. Remember that even if a sponsor does not provide Facility-based Housing Assistance, you must include the Facility-based Housing Section. Simply indicate that this section is not relevant to the sponsor by writing "n/a". Every facility still under development or just placed into service within the program year must be reported in a separate chart 1a and chart 1b. This means that if a sponsor has two development projects to report, they would include two Chart 1as and 2 Chart 1bs. If you report development projects in the Performance and Expenditures Chart in lines 2a, 3a, or 7, you must complete these sections.

In addition to reporting current development projects, if a facility received development costs for acquisition, rehabilitation, or new construction in previous program years and is now receiving operating subsidies with HOPWA funding, this facility must be reported in Chart 1a and Chart 1b. These facilities are subject to 3-10 year use agreements depending on the specific development that was completed. The only facilities that do not need to be included in Chart 1a and 1b are facilities that never received HOPWA development funds and facilities that received development funds in a previous program year, but are not currently receiving any HOPWA funding. These facilities are considered stewardship facilities and should be included in Part 5E of the report.

This slide gives an example of Chart 1a. Start by marking whether the facility is a Permanent housing facility or a Short-term or Transitional housing Facility. Facilities that received capital costs for development and opened up during the program year must complete all lines in Chart 1a. For facilities currently assisted with operating subsidies that received development funding in previous program years, complete all line items except for the information at the top of the chart regarding HOPWA Funds Expended and Non-HOPWA Funds Expended on new construction, rehabilitation, and acquisition. For facilities receiving development funds that have not yet been opened, be sure to mark "Not yet occupied" in line c and "Not yet providing services" in line d. Below that in line e report the number of HOPWA funded units that received capital funds for development. For the total units make sure to include all units in the facility, including the HOPWA-funded units. After providing the address of the facility receiving development dollars, it is very important to mark whether the project site address is confidential

Part 5C: Project Sponsor Information for Facility-Based Housing Assistance

For every facility still under development or just placed into service within the program year, complete Chart 1b. Also, complete Chart 1b for all facilities developed with capital funds in previous years that are now receiving operating subsidies. For each category, the number of units reported can not exceed the total number of HOPWA-funded units reported in Chart 1a on the previous slide. Report any newly constructed or acquired units in the first row of this chart. Report rehabbed units in the second row. For units acquired and rehabbed, report these units in both the line entitled "Rental units constructed and/or acquired with or without rehab" as well as the line entitled "Rental units rehabbed." The row "Homeownership units constructed" is not used very often because very few grantees have been approved to support this type of unit. Please refer to your grant agreement to determine if this row pertains to your grant. When reporting "years of affordability", make sure to report the number of years for which you plan or agree to make these units affordable for HOPWA-eligible households. Report in years and not in units for this category.

Part 5C: Project Sponsor Information for Facility-Based Housing Assistance

Section 2 of the Facility-based Housing Section must be completed for all facilities receiving operating subsidies as well as leased units and project-based rental assistance units. Make sure to check whether the facility is a permanent supportive housing facility or a Short-term/Transitional Supportive Housing Facility. In Chart b, indicate which type of units are being supported. If you are not sure what types of units you are operating or leasing, please ask your TA provider.

A community residence is typically a multiunit residence used to provide a lower cost residential alternative to institutional care and to provide a setting with appropriate services for individuals who are unable to live independently.

Project-based Rental Assistance encompasses master-leasing of units by the sponsors and includes rental subsides assigned to a specific housing unit. Any eligible household that moves into the unit will receive assistance to cover the portion of the rent that it cannot otherwise afford.

The category, "other housing facility" is not utilized by most grantees. This category should only be used if specified in your grant agreement.

Although you typically must report a separate Section 2 for each facility you operate or lease, this is not the case for scattered-site project-based rental assistance units. If you are providing scattered-site project-based rental assistance, you may report all of these units in one chart in Section 2, line c.

Part 5C: Project Sponsor Information for Facility-Based Housing Assistance

For each facility that receives operating subsidies or leasing funds, enter the total number of households served and the amount of HOPWA funds expended by the project sponsor on housing (involving the use of facilities, master leased units, or other scattered site units leased by the project sponsor). If a facility assisted the same household with funds from more than 1 category during the program year, you must adjust for duplication in line e, so that the total number of households you report as having received Facility-based Housing Assistance in line f is unduplicated. For instance, if a household was assisted with both operating and leasing funds during the program year, you would report this household in line a under leasing costs and in line b under operating costs. You would then need to adjust for duplication in line e, so that this household isn't counted twice in the Total line.

Make sure that all households reported in this chart, when aggregated, equal the number of households in the Performance and Expenditures Chart in Part 3C, lines 2a-3b. The expenditures reported in lines 2a-3b of the Performance and Expenditure Chart should equal the sum of all of your project sponsor's capital development costs as well as operating, leasing, and project-based rental assistance costs.

Part 5D: Project Sponsor Information for Supportive Services

Project sponsors report on supportive services, housing placement assistance, and administrative costs in Part 5D of the APR. In the first section, the project sponsor needs to indicate which type of project sponsor they are. There are two types of project sponsors. If a project sponsor provides housing assistance, they must mark box A, indicating that they are a project sponsor that provides HOPWA housing assistance. If a project sponsor provides only supportive services, this project sponsor should mark box b, indicating that they serve ONLY households with other housing arrangements. Sponsors can only mark 1 box.

The pictures on this slide represent some of the supportive services offered under the HOPWA program. The examples provided depict meals, health/medical intensive care services, transportation, and education.

Part 5D: Project Sponsor Information for Supportive Services

Read the scenario on this slide and determine which box the project sponsor should mark. Remember, that a project sponsor can only mark 1 box. Click on the appropriate box to see if you are correct. Once you have finished, click on the arrow in the top left corner of the slide to advance to the next slide.

A project sponsor provides TBRA to 7 households. This sponsor provides supportive services to all seven of these households, as well as an additional ten households that receive their housing assistance from leveraged sources. Which box should this project sponsor mark?   Click on the box to see if you are correct.

The project sponsor should mark box a, because the project sponsor provides housing assistance. Box B should only be marked if a project sponsor is only contracted to provide supportive services. If the sponsor provides housing assistance to 1 household, this sponsor should mark box a.

Part 5D: Project Sponsor Information for Supportive Services

In Section 2 of Part 5D, the project sponsor reports on the specific supportive services and housing placement assistance services they provided to households as well as the costs associated with these activities. Additionally, the project sponsor reports on any administrative expenditures incurred during the program year. This slide shows the first part of this section. Only households assisted with HOPWA funds should be reported in this chart. Do not include leveraged funds or households receiving services from leveraged funds in this chart.

For each line item, report on how funds are used. This should include the number of households that were served and the amount of HOPWA funds expended by type of supportive service. Although you might not have a separate line-item in your budget for each of these specific activities, you are still required to track which specific services you are providing. Do not combine everything under case management, unless this is the only supportive service provided. Work with your TA provider if you do not currently have a system for separating costs by these specific line-items. In some cases you may have to pro-rate your staff's time.

In line 16, report the total number of households that received supportive services during the program year as well as the total HOPWA funds expended on supportive services. In line 15 adjust for duplication if households were assisted with more than one type of supportive service. For instance if a household received both case management and transportation, report the household in both lines, however make sure to adjust for duplication in line 15 so that the total household count you provide in line 16 is unduplicated. The yellow box provides a formula for checking your math. The sum of lines 1 through 14 minus line 15 must equal the total you report in line 16.

Part 5D: Project Sponsor Information for Supportive Services

This slide shows a continuation of Part 5D, Section 2 from the previous slide. In this section, each sponsor should report on the number of households receiving housing information services and permanent housing placement services as well as the costs associated with these activities. Remember, housing information services include housing counseling, housing advocacy, information and referral services, fair housing information, housing search and assistance. Permanent Housing Placement is a supportive housing service that helps establish the household in the housing unit, including, but not limited to, reasonable costs for security deposits not to exceed two months of rent costs.

If you report that households were assisted with these activities, you must report the HOPWA funds expended. Likewise if you are reporting expenditures in these lines, you must report the number of households that were assisted with these HOPWA funds. For households that received both housing information services and permanent housing placement services, make sure to adjust for duplication in line 19, so that the total number of households you report as having received Housing Placement Assistance in line 20 is unduplicated. Each household should only be included once in the Total Housing Placement Assistance line. In the example on this slide, the sponsor is reporting that 2 households received both Housing Information Services and Permanent Housing Placement Services.

At the bottom of the chart, project sponsors report on their administration costs as well as other costs approved in their grant agreement. Resource Identification costs in line 21 should include costs to develop housing assistance resources, outreach and relationship-building with landlords, costs involved in creating brochures, web resources, and time to locate and identify affordable housing vacancies. In line 24, project sponsors should report their administrative costs. Grantees who are completing the project sponsor section of the APR should also report their administrative costs in this line, even though they only receive a 3% portion of their HOPWA grant amount for admin. Remember, grantees directly implementing their programs should complete all sections of the Project Sponsor Information portion of the APR. In line 25, only include "Other Activity" costs if the other activity was approved in your grant agreement. Do not use this line as a catch-all for costs that you were unable to categorize. Work with your TA provider if you are having difficulty categorizing costs. Specify exactly what "other activity" you were funded to provide.

Finally, remember that most of these line-items in Part 5D of your report are exactly the same as the line-items in the cumulative Performance and Expenditures Section of your report. When the grantee adds up the number of households and expenditures reported by each of its project sponsors in Part 5, the cumulative total should equal the summary data reported in the Performance and Expenditures Section in the Performance and Expenditures Chart in Part 3C of the report.

The yellow boxes on this slide contain formulas for checking your math to make sure that you are reporting the correct household and expenditure subtotals. The yellow box on the top of the slide states that line 17 plus line 18 minus line 19 should equal line 20. In other words the number of households assisted with Housing Information Services plus the number of households assisted with Permanent Housing Placement Services minus any adjustment for duplication should equal the Total Number of Households reported to have received Housing Placement Assistance. The yellow box on the bottom of the page includes a formula that states that the sum of lines 21 through 25 must equal line 26. In other words, the HOPWA funds expended on Resource Identification plus Technical Assistance plus Project/ Program Evaluation plus Project Sponsor Administration plus Other Activity must equal the Total Administration and Other Activities Expenditures reported in line 26.

Part 5D: Project Sponsor Information for Supportive Services

There are three errors on this slide. Look for the errors. Click anywhere on the slide to see if you guessed correctly. Missing Information will appear in red.

The first two errors involve missing expenditure information. Remember that if households received specific supportive services as in this example, you must collect the expenditures associated with these services. Do not wrap up all of your costs under case management. If, for some reason, expenditure information was not collected, it is still important to report the number of households served. You must establish a system for separating costs by these specific line-items.

In addition to incorrectly reporting expenditures, this project sponsor reported that they served 40 households with case management, 40 households with life skills management, and 40 households with transportation. When added together, the sum of households served should have equaled 120, however this sponsor reported that only 40 households in total were served. If households receive multiple types of supportive services, the adjustment for duplication must be included in line 15.

Part 5E: Project Sponsor Information for Certification of Continued Usage

In the final section of the Project Sponsor Information portion of the APR, project sponsors report on their stewardship units and facilities. Stewardship Units are units developed with HOPWA funds that are no longer receiving HOPWA funding for their operation or development. These units are subject to ten-year use agreements for acquisitions, new construction, and substantial rehabilitation and three-year use agreements if rehabilitation is non-substantial. You must keep track of these units and continue serving HOPWA-eligible households, even if HOPWA funds are not being used to support these units. Facilities developed with capital funds during the program year as well as facilities currently receiving operating subsidies are not considered stewardship units. If a project sponsor does not have stewardship units, they should mark "n/a" for this section.

A separate stewardship certificate is required for each stewardship facility. If you do have stewardship units to report, please complete the entire stewardship certificate. In Chart 1, include the operating year dates for this report. Mark the year of continued usage. For instance, if a facility was constructed with HOPWA funds in the previous program year and didn't receive any HOPWA dollars during this program year, the sponsor would mark "Yr 2" because this is the second program year in which the facility is being used. Last year, the facility would have been reported as a facility developed with capital funds and opening during the program year in the Performance and Expenditure Chart. However, during this program year, since the facility is no longer receiving HOPWA dollars, the sponsor is required to complete a stewardship certificate.

In the second part of the stewardship certificate you should report the number of stewardship units as well as the amount of leveraged funds supporting these units. The column title "Number of Units Receiving Assistance with HOPWA funds" is not quite right. For this box, report on the number of units developed with HOPWA funds, but not currently being supported with operating or other HOPWA costs.

The box entitled "Amount of Leveraging from Other Sources Used" refers to any Non-HOPWA funding currently being used to provide HOPWA-eligible activities to HOPWA-eligible households in stewardship facilities. Relevant activities include housing assistance (including operating subsidies), supportive services, and housing placement assistance. Report leveraged funding associated with these activities.

The remainder of the Stewardship Certificate is fairly straightforward. For table 3, simply provide project site information such as the address. Make sure to mark whether or not the project site information is confidential. At the bottom of the certificate, include the Name and Signature of the Authorized Official, as well as the name and contact information for the grantee contact.

Part 6: Worksheet on Determining
HOPWA Outcomes

Part 6 of the APR is optional, however grantees are encouraged to use this chart to assess the effectiveness of their program in meeting the HOPWA national goals of promoting housing stability and reducing the risk of homelessness.

Congratulations! You have completed the Training

Congratulations! You have completed the APR training. If you have any questions please feel free to email HOPWA@hud.gov or contact your TA provider. For a list of TA providers click on the link provided.