

GUIDE TO PREPARING AN ANNUAL PROGRESS REPORT

GUIDE 3

For Use by **Supportive Housing Program** Grant Recipients
Funded Under this Component:

Homeless Management Information System (HMIS – Dedicated Projects)



Sponsored by the U. S. Department of Housing and Urban Development
Office of Community Planning and Development
San Francisco Regional Office

Prepared by HomeBase/The Center for Common Concerns, Inc.

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U.S. Department of Housing and Urban Development, Office of Community Planning and Development, San Francisco Regional Office

The Office of Community Planning and Development (CPD) seeks to develop viable communities by promoting integrated approaches that provide decent housing, a suitable living environment, and expand economic opportunities for homeless, low and moderate income persons.

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HomeBase is a San Francisco-based HUD Technical Assistance provider and nonprofit law and policy firm which supports communities in their work toward ending homelessness. HomeBase's web site is www.homebaseccc.org.

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IS THIS THE CORRECT VERSION OF THE GUIDE FOR YOUR PROJECT?

Because the reporting obligations differ between types of HUD Continuum of Care Homeless Assistance Grants, we have prepared six different versions of this Guide to Preparing an Annual Progress Report. Be sure you are using the correct version.

Guide 3

For projects funded with Supportive Housing Program funds under this component:

Homeless Management Information Systems (HMIS) Only (Dedicated Projects)

If HMIS is only one of the activities for which Your Program is funded under a Supportive Housing Program Grant, use Guide 1

Guide 1

For projects funded with SHP Funds under these components:

**Permanent Housing - PH
Transitional Housing - TH
Safe Havens – SH**

**(including projects which
received leasing or**

Guide 2

For projects funded with SHP Funds under this component:

Supportive Services Only (SSO)

☛ including Projects that received *leasing, acquisition or rehabilitation* funds for the building in which they provide SSO-funded services

Guide 4

For projects funded with SHP funds for:

Development Only

- Acquisition
- New Construction
- Rehabilitation

Guide 5

For projects funded under this program:

Shelter Plus Care

Guide 6

For projects funded under this program:

Section 8 Single Room Occupancy (SRO) Moderate Rehabilitation

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INTRODUCTION TO THIS GUIDE

If you receive funds under a U.S. Department of Housing and Urban Development (HUD) Homeless Assistance Continuum of Care grant, either as a grantee, sponsor, or subrecipient, you have many requirements to fulfill. One of your obligations is to report on the people served by the Project, the objectives the Project has met, and how and the amount of grant funds and matching funds, if required, were expended. To meet this requirement, at the end of each grant year, you have agreed to file an Annual Progress Report, or APR, with HUD. (An electronic version of the APR, HUD Form 40118 is available at <http://www.hud.gov/offices/adm/hudclips/forms/hud4.cfm>.)

This guide is meant to help clarify instructions and definitions in the APR, to point out where mistakes commonly are made on the APR and how to avoid them, and to provide some tools to make it easier for you to make sure the correct data are being collected and accurate, complete and consistent information is being reported to HUD.

1. THE MOST IMPORTANT THINGS TO KNOW

Complete and Accurate APRs are Important to HUD, the Continuum of Care and Your Agency

- ▶ HUD uses the APR to track program progress and accomplishments and to report to Congress, which may effect federal appropriations.

Action to take:

File the APR by deadline

Make sure the APR is sent on time to HUD. The due date for the APR should be part of the agency's master calendar for tracking grant compliance activities.

Contact HUD for help

If you have APR questions or issues, you may contact HUD's APR Hotline at 1-877-277-1460 or the Helpline APR@abtassoc.com, or contact your local HUD field office.

You Need to Know What the APR Requires at the Beginning of your Operating Start Date in Order to Produce a Complete and Accurate APR at the End of the Year

- ▶ The APR will report:
 - financial information about grant and cash match expenditures;
 - feedback to HUD concerning program changes, challenges and technical assistance needs.
- ▶ Information needed to complete the APR may come from:
 - several agencies (all grant recipients, or providers of match); and
 - different "positions" within agencies (for example, technicians may be collecting data about services provided, but the staff charged with financial management will

hold the answers to the Financial Information questions, and the Executive Director and Program Manager may wish to jointly prepare information about changes, challenges and technical assistance needs.)

- ▶ You are obliged not only to collect, but also to maintain in your files the client and financial information you used to complete your APR.

Action to take:

Know what the Project is

In this Guide the term “Your Program” refers to the project described in your Grant Agreement – the HMIS functions you have agreed to provide. Your Program does not include other services or activities your agency or program may provide. For example, If your HUD grant activities are for purchasing and installing software and training HMIS users, that is Your Program, even though your agency’s entire project may provide a range of technology-related information services for people experiencing homelessness.

Know what data needs to be collected

Read the Annual Progress Report and this Guide to understand the data that must be collected **before your grant starts**.

Assign data collection and retention responsibilities

Ensure that data collection and retention tasks are assigned and included in the job descriptions of your employees, or in Memoranda Of Understanding with other agencies if they are responsible for collecting the data.

Preparing the APR Takes Thinking and Double-Checking

- ▶ Even when the required data have been collected, accurately responding to the questions asked has proved challenging for many.
- ▶ In completing the APR it is important to pay attention to what the question is asking for, to check arithmetic and percentages and to ensure that data that should be consistent, are consistent.

Action to take:

Assign APR completion responsibilities

Ensure that assignments are made to complete the report and that the people charged with completing the report read this Guide.

Assign responsibility for reviewing the Annual Progress Report

After the APR has been completed, someone else should be review it to check for errors.

This Guide Does not Recount All of Your Responsibilities

- ▶ Grant recipients have many responsibilities under the statutes and regulations that apply to these grants.

Action to take:

Find out what you need to know

Read your Grant Agreement. Your grant agreement with HUD defines Your Program and sets forth your obligations under the grant. HUD and the project grantee sign it. It includes the application, certifications, technical submission and SHP regulations. (The regulations current at the time the grant agreement is signed apply to the project during the term of the grant even if the regulation has changed.)

Access resources to supplement your knowledge

Use HUD's Homeless Resource Exchange (HRE) to obtain a broad spectrum of information about program and financial management responsibilities, as well as other information useful to work toward ending homelessness: www.HUDHRE.info.

2. HOW THIS GUIDE IS ORGANIZED

The next topic of this Guide introduces you to the APR including where you can find a copy, when it is due, how many copies to send to whom, and other information. The Sections following the introduction to the APR provide step-by-step instructions for answering the APR Questions. The Questions have been organized into sections as shown in the Table of Contents.

Symbols Legend

Within each section information is subdivided by symbols:



This bulls-eye symbol precedes an explanation about the purpose of the APR question and what you need to answer to be on target.



This clock symbol suggests that you pay special attention to the point for early, advanced planning – it will flag something that you may want to have in place before your operating year starts.

◆ **TIPS** This “tip of the pen” represents a list of “tips,” beyond the APR instructions, to assist you in completing the section.

🌐 **EXAMPLE** This globe indicates that a “real world” example is offered to illustrate the point.

Text of APR Questions

The text of the APR Questions that HMIS projects are to answer, with cross-references to the subsections of this Guide is at Appendix A.

Terms Defined and Acronyms Deciphered

At Appendix B to this Guide we include a list of definitions and acronyms. The first letter of defined terms are capitalized through the guide.

Sample Introduction Section from other APR Guides

The introduction to this Guide is written specifically for Homeless Management Information Systems (HMIS) projects, containing only information directly related to completing the Annual Progress Report (APR) for that type of project. Introductions for the other five Guides covering other types of HUD Homeless Assistance Grants provide additional information because completion of those Annual Progress Reports require the collection of data concerning people served and outcomes achieved. Because of the close nexus between the data collected in HMIS and by other types of projects to complete their APR, you may find the information contained in the other Introduction helpful to your work and a sample is at Appendix C.

INTRODUCTION TO THE ANNUAL PROGRESS REPORT

1. WHAT IT IS AND WHERE TO FIND A COPY ON-LINE:

The Annual Progress Report (APR) is a reporting tool that HUD uses to track program progress and accomplishments and inform the Department's competitive process for homeless assistance funding. (An electronic version of the APR, HUD Form 40118 is available at <http://www.hud.gov/offices/adm/hudclips/forms/hud4.cfm>.)

2. WHO MUST COMPLETE IT:

Grant recipients: Recipients of HUD's homeless assistance grants must submit an APR.

3. WHAT NEEDS TO BE SUBMITTED:

A separate Annual Progress Report must be submitted for each HUD grant received.

For those grantees receiving an extension, a separate report covering that period of extension must be submitted.

4. WHICH QUESTIONS TO ANSWER:

HMIS-dedicated projects complete only:

- The cover sheet
- Question 19
- Question 21
- The unnumbered questions at the end providing feedback to HUD.

5. WHEN IT IS DUE:

Within 90 days after the end of each Operating Year.

6. HOW IT IS ASSEMBLED:

After the entire report is assembled, number each page sequentially. Mark any questions that do not apply to Your Program with "N/A" for not applicable.

7. WHERE IT IS SENT:

One copy of the report must be submitted to the CPD Division Director in the local HUD field office responsible for managing the grant.

Another copy must be submitted to HUD Headquarters, Department of Housing and Urban Development, Attn: APR Data Editor, Room 7262, 451 7th Street SW, Washington, DC 20410.

8. WHAT HAPPENS IF THE APR IS NOT FILED ON TIME:

Failure to submit an APR will delay receiving grant funds and may result in a determination of lack of capacity for future funding. If the APR has not been submitted after 110 days, an "edit" in the LOCCS system will not allow the grantee to draw funds. The field offices remove the "edits" in the LOCCS system when the APR arrives and is approved.

9. WHAT HAPPENS TO THE APR AFTER IT HAS BEEN SENT TO THE FIELD OFFICE:

The field office reviews the APR, seeking additional information or revisions as necessary from the grantee. This is a critical step in ensuring that correct information will be entered in a central database. The verification of the data can be done with the use of the original grant application and the technical submission document. When the APR is found acceptable, the APR is entered in the grantee file, where it can be referred to for monitoring purposes. A copy of the APR is sent to headquarters in Washington, D.C. Headquarters enters the data into a data warehouse, and is able to use this information to respond to Congress and the general public, as well as to field office requests, regarding the implementation of the program.

GUIDE SECTION I:

THE APR COVER PAGE

THE BIG PICTURE: In this section of the Annual Progress Report, you provide HUD with identifying information about the grantee, sponsor, the grant and Your Program.

HOW TO COMPLETE THIS PART OF THE APR

A. GRANTEE



The Grantee is the direct recipient of the HUD award. This is the entity identified in HUD Grant Agreement as the “grantee.”

◆ TIPS:

- ▶ Be sure that the grantee’s name is precisely the same as the name on the most recent Grant Agreement with HUD.

🌐 **FOR EXAMPLE:** If Elm County Human Support Agency is the grantee, the abbreviation “ECHSA” or shorthand “Human Support Agency” should not be written here.

- ▶ If the grantee has changed its name, you should work with HUD to amend your Grant Agreement. Until the agreement is amended, use the name on the most recent agreement.

B. HUD GRANT OR PROJECT NUMBER



Your grant has a project number and a pin number that can be found on the appropriate Grant Agreement. The project number changes each time the grant is renewed. However, the “pin number” stays the same throughout the life of the project. In this space, put BOTH the project number and the pin number pertaining to the grant you are reporting on in this APR.

◆ TIP:

- ▶ By the time you are preparing the APR, Your Program may have received a renewal grant with a new project number. Be sure you are using the project number pertaining to the grant you are reporting on in this APR (and not the project number for the newly renewed grant).

C. PROJECT SPONSOR(S)



The Project Sponsor(s) means the organization(s) responsible for carrying out the daily operation of the project as stated in the Grant Agreement, if the organization(s) is an entity other than the grantee.

◆ TIPS:

- ▶ Be sure that the Project Sponsor's name is precisely the same as the name on the most recent Grant Agreement with HUD.

🌐 **FOR EXAMPLE:** If Data to End Homelessness Agency is the sponsor, the abbreviation "DEHA" or shorthand "Data to End" should not be written here.

- ▶ If the project sponsor has changed its name, you should work with HUD to amend your Grant Agreement. Until the agreement is amended, use the name on the most recent agreement.

D. PROJECT NAME



The Project Name is the name you assigned to your HUD-funded project when you made your application and is in the Grant Agreement.

◆ TIP:

- ▶ HUD needs to be able to identify your APR with a project it has funded. Therefore, even if you commonly refer to the project by another name, put the name of the project as it appears on your HUD Grant Agreement here.

E. OPERATING YEAR



This is the number of the Operating Year *for this Project* from the beginning of time. An extension of a grant year is considered the same as the grant year extended.

🌐 FOR EXAMPLE:

- If your initial grant was for three years, and you are reporting on the second of two one-year renewal grants, mark "5."
- If you are reporting on the *extension* of the 3rd year of a grant, mark "3."

F. REPORTING PERIOD



This should be a one-year period coinciding with the project's Operating Year. An exception is if you are reporting on an extension of the grant that you requested and received from HUD. In that case, the period may be shorter than one year and will be for the period of extension.

G. EXTENSION OR RENEWAL



Unless you are reporting on Operating Years within the *initial* term of your grant, answer each of these questions yes or no. In almost all cases, you will be preparing an APR for *either* a renewal or an extension. Therefore, the answer to one question will be yes, and the answer to the other will be no. (Infrequently HUD has extended the grant period and *explicitly* instructed the recipient to prepare one APR for the entire period. In that case, both boxes would be checked “yes.”)

◆ TIPS:

- ▶ For those grantees receiving an extension, a separate APR covering that period of extension must be submitted unless HUD has *explicitly* instructed you to prepare one report.

H. PREVIOUS GRANT NUMBERS



If you are reporting on a renewal grant, list all prior grant numbers for the project in these spaces. If you are reporting on a grant which has not been renewed, this section will be blank.

I. PROGRAM COMPONENT



By selecting this version of the Guide, your grant is funded under the Supportive Housing Program; select the HMIS component under that heading. If you are funded under a different component, e.g. Transitional Housing or Safe Haven, you have selected the incorrect APR Guide.)

J. SUMMARY OF THE PROJECT



Use this response to very briefly describe Your Project as well as your major accomplishments. HMIS accomplishments of interest to HUD include the number of client records and unduplicated clients entered into HMIS, data collection completeness (null/missing values) and coverage (number of beds in HMIS as a percentage of all beds for people experiencing homelessness), data quality and implementation of HMIS Data & Technical Standards.

K. NAME AND TITLE OF THE PERSON WHO CAN ANSWER QUESTIONS



As the instruction states, identify here the person who can answer questions about the Annual Progress Report.

◆ TIP:

- ▶ This person probably is the one who prepared the report and not the person who is signing the report as an authorized official of the grantee or sponsor.

L. AUTHORIZED SIGNATURES



An authorized official of the grantee and the sponsor(s), if the sponsor(s) is different than the grantee, must sign the report.

◆ TIPS:

- ▶ To be accepted by HUD, the annual progress report must be signed and dated.
- ▶ Usually the “authorized official” is the Executive Director of the agency.
- ▶ Agencies listed on the grant application as sponsors must sign the APR.
- ▶ The report is signed under penalty of perjury. Before signing that the Annual Progress Report is accurate, the “authorized official” may wish to ask staff:
 - Are we collecting and accurately reporting the financial information required by the APR?
 - Has the information in the APR been double-checked using the information in this Guide?

GUIDE SECTION II:

FINANCIAL INFORMATION APR QUESTIONS 19 and 21

THE BIG PICTURE: In this section of the Annual Progress Report, you provide HUD with “financial information” about the expenditures and match for Your Program.

HOW TO COMPLETE THIS PART OF THE APR

🔑 TIPS WHICH APPLY TO QUESTIONS 19 and 21

- ▶ Remember, you are reporting on expenditures for Your Program, this HUD-funded project.
- ▶ Be sure to involve staff charged with financial management of the grant in completing these charts.
- ▶ SHP funds may *not* be expended on these elements of an HMIS:
 - Planning and development of HMIS systems. Planning includes all costs incurred prior to implementation.
 - Development of entirely new software systems. There are now sufficient vendors in the marketplace with quality software so that individual communities do not need to finance the development of new software.
 - To replace state and local government funding for an existing HMIS.
- ▶ These APR questions relate to accruals, not cash disbursements.
- ▶ The information about grant funds expended in these charts should coincide with:
 - the approved Project budget; and
 - the amount of grant funds drawn-down through the LOCCS system (which represent grant funds actually expended on eligible activities in the approved Project budget for the benefit of eligible clients).
- ▶ The information about cash match expended in these charts should:
 - be at least equal to the required match for each line item in our budget; and
 - represent cash contributed for an incurred cost of the grantee and/or sponsor on eligible activities in the approved Project budget for the benefit of eligible clients.
- ▶ Cash match, including the connection between the revenue source and expense, must be documented as part of the management of your financial system. The accounting records must show that match is not being counted as match for another federal program. Grant recipients have many responsibilities with respect to the management of their financial



system which are not included in this Guide. For references to resources concerning those responsibilities, contact your local HUD field office.



▶ Documentation of resources used, including match, is not required to be submitted with this report but should be kept on file for possible inspection by HUD and your agency financial auditor.



▶ One of your primary services cost may be employee salaries and benefits. Your Program is obligated to maintain accurate and current time and activity records to document the specific staff time expended on eligible activities as stated in Your Program budget for the benefit of eligible beneficiaries.

19-1. FINANCIAL INFORMATION – SUMMARY OF EXPENDITURES



This chart specifies how all SHP grant funds and cash match, by activity, were expended *during the Operating Year*.

◆TIPS:

- ▶ Your project either receives funding for HMIS activities only, or for HMIS and Administration. Therefore, complete only rows d, e (if applicable) and f.
- ▶ Do not include any expenditures made before the Operating Year began, or made after the Operating Year ended.
- ▶ The amount on row d, in the “Cash Match” column, should be the same as the amount on the next Chart, 19-2, Sources of Cash Match, row h. This table should add up both horizontally and vertically.
- ▶ The amount on row d, under the “SHP Funds” column, should be the same as the figure in Chart 21, on the last row “Total.”
- ▶ This table should add up both horizontally and vertically.
- ▶ Also see the Tips at the beginning of this Guide Section II.

19-2. FINANCIAL INFORMATION – SOURCES OF CASH MATCH



The previous Chart 19-1, “Summary of Expenditures,” states the amount of Cash Match expended during the Operating year. This Chart 19-2 specifies the *sources* of the cash match. Enter the sources of cash match in the categories stated. Additional rows can be added to the Chart if needed. This exhibit should demonstrate to HUD that the grantee has contributed enough cash to match the SHP funds spent for supportive services and operations in the amount required.

◆TIPS:

- ▶ All sources of cash match should fit in one of the categories identified.
- ▶ Do not include any expenditures made before the Operating Year began or after the Operating Year ended.
- ▶ Category “a – Grantee/project sponsor cash” is sometimes erroneously used as a “catch-all” category for funds received by the grantee/sponsor from sources identified in categories b-g. Therefore, in completing this chart, categorize cash match resources into rows b-g first. Use category “a – Grantee/project sponsor cash” as a choice of last resort. If in fact category “a – Grantee/project sponsor cash” is the primary source of match for Your Program, attach an explanation to HUD (either as a footnote to this chart or in response to the unnumbered question in the APR which follows question 21 – “Describe any problems or changes implemented during the operating year.”)
- ▶ HMIS projects should not have any match funds in Category “g – Occupancy charge/fees.”
- ▶ The total stated on row h should be the same as the total stated on Chart 19-1 – Summary of Expenditures Chart, row f, Cash Match Column.
- ▶ Also see the Tips at the beginning of this Guide Section II.

21. SUPPORTIVE HOUSING PROGRAM: HMIS



Complete this chart by itemizing how SHP-HMIS funding for supportive services was spent *during the Operating Year*.

◆TIPS:

- ▶ Only record here how SHP grant funds for HMIS activities were expended. Do **not** record here how any other funds were expended on those activities, e.g. cash match funding, other grants, program general funds, etc.
- ▶ The expenditures recorded here are the costs necessary to carry out the HMIS function that is the subject of your Grant Agreement.

🌐 FOR EXAMPLE:

If computers were purchased and used by HMIS-Coordinator staff for HMIS activities but also were used for fund-raising activities, only the pro rata share of costs necessary to carry out the HMIS function would be recorded here.

- ▶ Under the shaded category “Services,” subcategory “Training by Third Parties” refers to the cost to the grantee and/or sponsor to retain a “Third Party” to provide training. If

the grantee and/or sponsor provides training, that cost is listed under the shaded category “Personnel,” subcategory “Technical Assistance and Training.”

- ▶ Under the shaded category “Personnel,” subcategory “Administrative Support Staff” refers to administrative support staff carrying out the HMIS function, not the grant administration function.
- ▶ Under the shaded category “HMIS Space and Operations,” the subcategory “Space Costs” refers to the cost to lease space necessary to carry out the HMIS function.
- ▶ Be sure that the amount in the last row, “Total,” is the same amount that is stated on Chart 19-1, Summary of Expenditures, row d, SHP Funds column.
- ▶ Also see the Tips at the beginning of this Guide Section II.

GUIDE SECTION III:

FEEDBACK TO HUD APR QUESTIONS REGARDING PROBLEMS/CHANGES AND TECHNICAL ASSISTANCE NEEDS

THE BIG PICTURE: In this section of the Annual Progress Report, you are given the opportunity to give feedback to HUD. Answering these two questions is optional.

HOW TO COMPLETE THIS PART OF THE APR

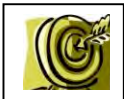
Y. PROBLEMS AND/OR CHANGES.



You should note any changes implemented, whether or not they required an amendment to your grant. This will assist you in keeping open communication with HUD, and ensure that they are aware of local issues and concerns.

You should describe any issues or concerns that arose during the course of the year that affected this grant, including the project's performance. Discuss how these issues and/or concerns were resolved and if additional assistance is needed in these areas.

Z. REQUESTS FOR TECHNICAL ASSISTANCE.



Take this opportunity to note any training or technical assistance you and/or your staff have received, as well as additional assistance that you would find helpful.

Try to be specific when asking for assistance, describing the issue so that appropriate decisions for providing assistance can be made.

APPENDICES

APPENDIX A

ANNUAL PROGRESS REPORT QUESTIONS CROSS-REFERENCED TO THIS GUIDE

THIS PAGE - TO BE COMPLETED BY ALL GRANTEES

B

A

Grantee:

HUD Grant or Project Number:

Project Sponsor:

C

Project Name:

D

Operating Year: (Circle the operating year being reported on)

- 1 2 3 4 5 6 7 8 9 10
- 11 12 13 14 15 16 17 18 19 20

Indicate if extension: Yes No

from: to:

Indicate if renewal: Yes No

Reporting Period: (month/day/year)

E

F

Previous Grant Numbers for this project:

G

H

Check the component for the program on which you are reporting.

I

Supportive Housing Program (SHP)

Shelter Plus Care (S+C)

Section 8 Moderate Rehabilitation

- Transitional Housing
- Permanent Housing for Homeless Persons with Disabilities
- Safe Haven
- Innovative Supportive Housing
- Supportive Services Only
- HMIS

- Tenant-based Rental Assistance (TRA)
- Sponsor-based Rental Assistance (SRA)
- Project-based Rental Assistance (PRA)
- Single Room Occupancy (SRO)

- Single Room Occupancy (Sec. 8 SRO)

Summary of the project: (One or two sentences with a description of population, number served and accomplishments this operating year)

J

Name & Title of the Person who can answer questions about this report:

Phone: (include area code)

Address:

K

Fax Number: (include area code)

E-mail Address

I hereby certify that all the information stated herein is true and accurate.

Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties. (18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Name & Title of Authorized Grantee Official:

Signature & Date:

X

Name and Title of Authorized Project Sponsor Official:

Signature & Date:

X

L

19. Supportive Housing Program: Leasing, Supportive Services, Operating Costs, HMIS Activities and Administration

All grantees receiving funding under the Supportive Housing Program must complete these charts each operating year. For **expansion projects**: If SHP grant funds are for the expansion of a pre-existing homeless facility, only the people and expenditures for the additional expansion may be included, as in the original application or any grant amendments. Documentation of resources used is not required to be submitted with this report but should be kept on file for possible inspection by HUD and Auditors. Do not include any expenditures made before the SHP grant was executed.

Summary of Expenditures. Enter the amount of SHP grant funds and cash match expended during the operating year for each activity. This table should add up both horizontally and vertically. The SHP supportive services total should be the same as the SHP supportive services in Question 18.

		SHP Funds	Cash Match	Total Expenditures
a.	Leasing			
b.	Supportive Services			
c.	Operating Costs			
d.	HMIS Activities			
e.	Administration			
f.	Total			

19-1

Note: Payments of principal and interest on any loan or mortgage may not be shown as an operating expense.

Sources of Cash Match. Enter the sources of cash identified in the Cash Match column, above, in the following categories. Use additional sheets, as necessary.

		Amount
a.	Grantee/project sponsor cash	
b.	Local government (please specify)	
c.	State government (please specify)	
d.	Federal government (please specify)	
	Community Development Block Grant (CDBG)	
e.	Foundations (please specify)	
f.	Private cash resources (please specify)	
g.	Occupancy charge / fees	
h.	Total	

19-2

FOR HMIS ACTIVITIES ONLY

21. For Supportive Housing (SHP) – HMIS Activities

This exhibit provides information to HUD on how SHP-HMIS funding for supportive services was spent **during the operating year**. Enter the amount of SHP-HMIS funding spent on these activities.

21

<i>HMIS Activities Only</i>	<i>Dollars</i>
<i>Equipment</i>	
Central Server(s)	
Personal Computers and Printers	
Networking	
Security	
Subtotal	
<i>Software</i>	
Software / User Licensing	
Software Installation	
Support and Maintenance	
Supporting Software Tools	
Subtotal	
<i>Services</i>	
Training by Third Parties	
Hosting / Technical Services	
Programming: Customization	
Programming: System Interface	
Programming: Data Conversion	
Security Assessment and Setup	
On-line Connectivity (Internet Access)	
Facilitation	
Disaster and Recovery	
Subtotal	
<i>Personnel</i>	
Project Management / Coordination	
Data Analysis	
Programming	
Technical Assistance and Training	
Administrative Support Staff	
Subtotal	
<i>HMIS Space and Operations</i>	
Space Costs	
Operational Costs	
Total	

Describe any problems and/or changes implemented during the operating year.

Y

Technical Assistance and Recommendations

Based on your experience during the last year, are there any areas in which you need technical advice or assistance? If so, please describe.


Z

APPENDIX B

DEFINITIONS AND ACRONYMS DECIPHERED

A. Definitions

Grant Agreement	A Grant Agreement is the contract between the grantee and HUD concerning a Continuum of Care-funded project. The Supportive Housing Program (SHP) Grant Agreement is signed by the local HUD field office and the grantee. The agreement includes: common elements, the application for funding, certifications, the technical submission and the applicable regulations. Grant agreements may be amended from time to time.
Grantee	Grantee means a direct recipient of the HUD award.
Homeless	<p>A person is homeless if s/he is:</p> <ul style="list-style-type: none"> • living in a place not meant for human habitation: cars, parks, sidewalks and abandoned buildings; or • <i>living in Emergency Shelter; or</i> • living in Transitional Housing for Homeless and originally came from the streets or emergency shelter; or • living in one of the above places, but temporarily for no more than 30 days, is living in an institution; or • being evicted within a week and no subsequent residence has been identified and s/he lacks the resources and the support network needed to access housing; or • being discharged within a week from institution (where s/he has been a resident for more than 30 days) and no subsequent residence has been identified, and s/he lacks the resources and support network needed to access housing.
Homeless Management Information System	A Homeless Management Information System (HMIS) is a computerized data collection application that facilitates the collection of information on homeless individuals and families using residential or other homeless assistance services and stores that data in an electronic format.
Line of Credit Control System Voice Response System (LOCCS)	Supportive Housing Program grantees use the Line of Credit Control System Voice Response System (LOCCS-VRS) to draw-down grant funds via the telephone.
Match	For SHP, match is cash used to provide the grantee's/sponsor's portion of acquisition, rehabilitation, new construction, operations and supportive services expenses. The match required for Your Program is stated in your Grant Agreement.
Operating Year:	The Operating Year is the one-year period on which you are reporting in the APR.

	<p>For dedicated HMIS projects, the operating year begins when any eligible cost included in the approved project budget is incurred. All SHP projects' Operating Years are the first of the month.</p> <p>Unless amended with HUD's agreement, once the month and date your Operating Year begins is set, it <i>remains the same from year to year</i>, even when your grant is renewed.</p>
Project Sponsor	Project Sponsor means the organization responsible for carrying out the daily operation of the project, if the organization is an entity other than the grantee.
Subrecipient	A public agency or nonprofit organization which receives grant funds through a grantee or a sponsor to carry out project activities.
Your Program	<p>In this Guide the term "Your Program" refers to the project described in your Grant Agreement – the HMIS functions you have agreed to provide. Your Program does not include other services or activities your agency or program may provide.</p> <p> FOR EXAMPLE: If your HUD grant activities are for purchasing and installing software and training HMIS users, that is Your Program, even though your agency's entire project may provide a range of technology-related information services for people experiencing homelessness.</p>

B. Acronyms

APR	Annual Progress Report
CoC	Continuum of Care
HMIS	Homeless Management Information System
HUD	US Department of Housing and Urban Development
LOCCS	Line of Credit Control System
PH	Permanent Housing for Persons with Disabilities
S+C	Shelter Plus Care
SH	Safe Haven
SHP	Supportive Housing Program
SSO	Supportive Services Only
TH	Transitional Housing

APPENDIX C

**SAMPLE “INTRODUCTION TO THIS GUIDE” FROM
ANOTHER GUIDE TO PREPARING AN ANNUAL
PROGRESS REPORT**

[written for a program serving and housing clients using Supportive Housing
Program funding]

INTRODUCTION TO THIS GUIDE

If you receive funds under a U.S. Department of Housing and Urban Development (HUD) Homeless Assistance Continuum of Care grant, either as a grantee, sponsor, or subrecipient, you have many requirements to fulfill. One of your obligations is to report on the people served by the Project, the objectives the Project has met, and how and the amount of grant funds and matching funds, if required, were expended. To meet this requirement, at the end of each grant year, you have agreed to file an Annual Progress Report, or APR, with HUD. (An electronic version of the APR, HUD Form 40118 is available at <http://www.hud.gov/offices/adm/hudclips/forms/hud4.cfm>.)

This guide is meant to help clarify instructions and definitions in the APR, to point out where mistakes commonly are made on the APR and how to avoid them, and to provide some tools to make it easier for you to make sure the correct data are being collected and accurate, complete and consistent information is being reported to HUD.

1. THE MOST IMPORTANT THINGS TO KNOW

Complete and Accurate APRs are Important to HUD, the Continuum of Care and Your Agency

- ▶ HUD uses the APR to track program progress and accomplishments and to report to Congress, which may effect federal appropriations.
- ▶ The APR is used by your local Continuum of Care (also called a CoC) to report to HUD annually on the progress projects across the Continuum of Care have made. If your data are incomplete or inaccurate, it may skew the data supporting the entire CoC's performance and may effect how the CoC ranks Your Program for funding.
- ▶ The APR can be used by your agency's management to improve the delivery of services and/or housing to support an end to your participants' homelessness.

Action to take:

File the APR by deadline

Make sure the APR is sent on time to HUD. The due date for the APR should be part of the agency's master calendar for tracking grant compliance activities.

Use the APR as a tool to improve

Leverage the time and effort spent to prepare the APR by using the data for self-evaluation, self-monitoring and program management decisions (e.g. trend analysis, decisions about whether to ask HUD for a grant amendment, etc.).

Contact HUD for help

If you have APR questions or issues, you may contact HUD's APR Hotline at 1-877-277-1460 or the Helpline APR@abtassoc.com, or contact your local HUD field office.

You Need to Know What the APR Requires at the Beginning of your Operating Start Date in Order to Produce a Complete and Accurate APR at the End of the Year

- ▶ The APR will report data about:
 - the number and demographics of the people you have served,
 - how the program performed in relation to some HUD-defined outcomes,
 - how the program performed in relation to some project-defined outcomes' and
 - financial information.

It also provides grant recipients the opportunity to report on changes, challenges and technical assistance needs.

- ▶ Information needed to complete the APR may come from:
 - several service/housing providers (all grant recipients, or providers of match) and
 - different “positions” within agencies (for example, case managers may be entering data about services provided, but the staff charged with financial management will hold the answers to the Financial Information questions, and the Executive Director and Program Manager may wish to jointly prepare information about changes, challenges and technical assistance needs.)
- ▶ You are obliged not only to collect, but also to maintain in your files the client and financial information you used to complete your APR.

Action to take:

Know what the Project is

You are collecting data for the program (described in the Grant Agreement with HUD. In this Guide we refer to that program as Your Program. Sometimes Your Program is not the same as what you might consider your entire project. For example, if you operate a 10 unit, 30-bed transitional housing project serving 10 families, but the HUD Grant Agreement funding and match is used for transitional housing and services for 7 families in 7 units, Your Program is for the 7 families in the 7 units. In your APR you are reporting data on those 7 units (and the families occupying those units). (However, if the balance of those you serve also are homeless, you are reporting data on all units and families into the your CoC's HMIS.

Know what data needs to be collected

Read the Annual Progress Report and this Guide to understand the data that must be collected **before your grant starts**.

Assign data collection and retention responsibilities

Ensure that data collection and retention tasks are assigned and included in the job descriptions of your employees, or in Memoranda Of Understanding with other agencies if they are responsible for collecting the data. If you are not familiar with your HMIS and the data that are being collected on participants in Your Program in that system, ask your CoC HMIS Coordinator. Use the charts in Appendix B to help you understand the “cross-walk between APR questions and HMIS Data Elements (i.e. what data is being collected by HMIS.)

Preparing the APR Takes Thinking and Double-Checking

- ▶ Even when the required data have been collected, accurately responding to the questions asked has proved challenging for many.
- ▶ In completing the APR it is important to pay attention to what the question is asking for, to check arithmetic and percentages and to ensure that data that should be consistent, are consistent.

Action to take:

Assign APR completion responsibilities

Ensure that assignments are made to complete the report, keeping in mind that Part I: Project Progress may be completed by someone familiar with program management and Part 2: Financial Information by someone familiar with financial management. The people charged with completing the report should read this Guide.

Assign responsibility for reviewing the Annual Progress Report

After the APR has been completed, someone else should review it to check for math errors, missed questions, and inconsistent data.

This Guide Does not Recount All of Your Responsibilities

- ▶ Grant recipients have many responsibilities under the statutes and regulations which apply to these grants.
- ▶ Among those responsibilities is serving only people who are homeless, and in some cases also disabled, and in some cases “chronically homeless.” Not only must grant recipients assess potential beneficiaries for eligibility, they also must obtain and retain documentation which verifies eligibility.

Action to take:

Find out what you need to know

Read your Grant Agreement. Your grant agreement with HUD defines Your Program and sets forth your obligations under the grant. HUD and the project grantee sign it. It includes the application, certifications, technical submission and SHP regulations. (The regulations current at the time the grant agreement is signed apply to the project during the term of the grant even if the regulation has changed.)

Access resources to supplement your knowledge

Use HUD’s Homeless Resource Exchange (HRE) to obtain a broad spectrum of information about program and financial management responsibilities, as well as other information useful to work toward ending homelessness: www.HUDHRE.info.