

APR Checklist: Enhancing Data Accuracy



Annual Performance Report (APR) Self-Help Checklist for HOPWA Competitive Grantees

The checklist below serves as an optional tool to assist grantees in completing and assessing the accuracy of their APR. Based on experience reviewing the APR, the notes below provide succinct guidance on key sections and pointers for parts of the APR that may pose challenges to new grantees. Please note this tool is not to be submitted to HUD. Checklist for form: HUD 40110-C (exp. 12.31-2010)

Check Once Reviewed	Data Quality Check	Unit of Measurement
<input type="checkbox"/>	<p>Part 1 Grantee Summary Chart 1 Grantee Information</p> <p>Include grant number, operating year, grantee number, type of grant, and address of grantee.</p> <p>Complete new required information including EIN/TIN, DUN and Bradstreet numbers, and congressional districts, zip codes, cities, and counties of service areas. Note: this is a new data element required by the Federal Funding and Accountability Transparency Act 2006.</p> <p>Indicate if organization is a nonprofit organization, and if it is a faith-based and/or grassroots organization.</p> <p>Include contact information of authorized official and contact at grantee agency.</p>	
<input type="checkbox"/>	<p>Part 1 Grantee Summary Chart 2 Subrecipient Information</p> <p>Complete information for each organization with a contract of \$25,000 or above that has an agreement in the form of a grant, subgrant, cooperative agreement, contract, subcontract, purchase order, and delivery order.</p> <p>Include name, contact information, address, EIN/TIN, DUN & Bradstreet numbers, NAICS code, congressional districts, zip codes, cities, counties of service areas, and contract amount. If there are multiple organizations, please add additional charts to the APR to complete information required. Note: this is a new data element required by the Federal Funding and Accountability Transparency Act 2006.</p> <p>For those organizations <i>implementing</i> HOPWA service delivery activities directly to clients, please report in Part 5A: Summary of Project Sponsor Information.</p>	

Check Once Reviewed

Data Quality Check

Unit of Measurement

Part 2 Grantee Narrative and Performance Assessment, A - E

A. Outputs Reported

Provide a complete description of outputs, outcomes, barriers, technical assistance and logic model. The description on outputs includes a comparison between proposed and actual accomplishments and implementation challenges and successes.

B. Outcomes Assessed

Assess progress made toward achieving HOPWA's performance goal of 80% of HOPWA clients maintaining housing stability, avoiding homelessness, and accessing care each year. If the grantee is not meeting the target, describe steps being taken to achieve this goal.

C. Barriers and Recommendations

Barriers outline issues encountered that challenged achievement of output and outcome goals.

D. Technical Assistance

Describe any technical assistance needs required to meet program goals and requirements.

C. Logic Model

Attach an annual completed logic model.

Part 2 Grantee Narrative and Performance Assessment, F

Section F. Unmet Need

This new section requires data on the number of HOPWA eligible households that are not receiving services (unmet need).

First, indicate if the program operates in the same or in different service areas as HOPWA formula funds.

Next, specify the number of households that are eligible for HOPWA assistance, but are not receiving services, by type of housing assistance.

Indicate the data sources used to assess the unmet need. This can be a combination of waiting lists, data from the Consolidated Plan, HMIS, independent information provided by project sponsors, etc. if known. A complete list of potential data sources is included in the APR in this section.

Check Once Reviewed	Data Quality Check	Unit of Measurement
Part 3A, Information on Individuals, Beneficiaries and Households		
<input type="checkbox"/>	Section 1. Individuals <i>1a, b: Number of individuals and special needs:</i> As known from the total number of individuals receiving HOPWA housing assistance, indicate the number who have special characteristics/circumstances (veterans, chronically homeless and domestic violence survivors).	Individuals
<input type="checkbox"/>	<i>1c: Prior living situation:</i> The total number of those individuals reported with a prior living situation <u>must equal</u> the number of individuals reported above in 1a. In other words, all HOPWA eligible individuals must be reporting in the prior living situation chart, 1c. For those continuing from the prior operating year, enter on line i. For new clients, enter their prior living situation in lines ii through xvii.	Individuals
<input type="checkbox"/>	Section 2. Beneficiaries <i>2a, b, c: Number of beneficiaries, age, gender, race and ethnicity:</i> The total for the number of beneficiaries (2.a.iii) must be the same total number reported in the age, gender, and race sections. Include information on Hispanic/Latino. Note that the category for Hispanic or Latino indicates only an ethnicity. If this is used, a corresponding racial category must be completed.	Beneficiaries: (Individual receiving assistance and associated members of the household)
<input type="checkbox"/>	Section 3. Households <i>3: Household median income:</i> The total number of households reported by median area income	Household: (Single individual or a family composed of two or more persons, for which household incomes are used to determine eligibility and rent payment)
Category: Part 3B Budget and Grant Sources for Project Leveraging		
<input type="checkbox"/>	Chart 1. Households Assisted with Leveraged Funds for Housing Include total number of households assisted with leveraged funds by type of housing assistance (TBRA, Permanent Housing Facilities, Transitional/Short-term Housing Facilities; STRMU) Specify number of units in facilities under development also supported by leveraged funds.	Households (TBRA, Permanent Housing Facilities, Transitional/Short-term Housing Facilities; STRMU) Units (Number of Units in Facilities under Development)
<input type="checkbox"/>	Chart 2. Sources of Leveraged Funds and Amount Used for Housing Assistance and Supportive Services Specify the sources of leveraged funds and the amount used for either housing assistance or supportive services and other non-direct housing costs. Ensure all sources of leveraging have information on the type of use of the leveraged funds. If leveraged funds are reported for housing assistance, ensure that the number of households supported by these leveraged funds for housing is reported in Chart 1.	Leveraged Dollars

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Category: Part 3C Performance and Expenditure Information

<input type="checkbox"/>	<p>Housing Subsidy Assistance: Provide the number of households and funds expended for each of the housing assistance categories: (TBRA, Permanent Housing Facilities, Transitional/Short-term Housing Facilities; Permanent housing facilities developed with capital funds and placed into service, Transitional/short-term housing facilities developed with capital funds and placed into service, STRMU).</p> <p>The total number of households receiving HOPWA assistance and expenditures by type of housing assistance is reported by all sponsors in Part 5B (for TBRA and STRMU) and Part 5C, Charts 2 and 3 (for facilities). In line 5, adjust for duplication. This signifies that if any households received multiple types of housing assistance, that number would be inserted in line 5. The total of all columns for the section is inserted in line 6.</p>	Household, HOPWA Funds Expended
<input type="checkbox"/>	<p>Housing Development: Verify the number of facility-based units and expenditures with data submitted by each sponsor in Part 5C, 1a. For stewardship units (line 8), no expenditures are to be reported. Project Certification form must be completed. The total is in line 9.</p>	Units, Funds Expended
<input type="checkbox"/>	<p>Supportive Services: Supportive services are divided into 2 categories: 1. Services provided by project sponsors also delivering HOPWA housing assistance (reported in Part 5D, 1a by sponsors). <u>Each sponsor must have its own chart on supportive services; aggregate line 16 for each chart to provide at the grantee level data on households and funds in line 10a of Part 3C.</u> 2. Services provided by project sponsors serving households who have other housing arrangements (reported in part 5D, 1b by sponsors). <u>Each sponsor must have its own chart on supportive services; aggregate line 16 for each chart to provide at the grantee level data households and funds in line 10a of Part 3C.</u></p>	Household, HOPWA Funds Expended
<input type="checkbox"/>	<p>Housing Placement Assistance Activities: All households reported by project sponsors in Part 5D, Chart 2 receiving housing information services and permanent housing placement services should be summed and allocated to the appropriate category in Part 3C, lines 13 through 16. Line 13 and 14 are for housing information services and permanent housing placement services, line 15 is to adjust for duplication, and line 16 shows the total housing placement assistance.</p>	Household, HOPWA Funds Expended
<input type="checkbox"/>	<p>Administration and Management Services: Lines 17 through 21 require expenditure information. Note: if completing line 22 for other activities approved, one must account for household data. Funds for grantee administration cannot exceed 3% and for sponsor information cannot exceed 7%.</p>	Funds Expended
<input type="checkbox"/>	<p>Total Expenditures: Sum total for each section (lines 6, 9, 12, 16 & 23) and input into line 24.</p>	Funds Expended

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<input type="checkbox"/>	<p>Part 4 HOPWA Performance Outcomes <i>HOPWA Long-term Performance Objective: 80% of HOPWA clients will maintain housing stability, avoid homelessness, and access care each year through 2011.</i></p>	
<input type="checkbox"/>	<p>Section 1. Housing Stability: Tenant-based Rental Assistance, Permanent Supportive Housing Facilities/Units, Transitional/Short-term Support Facilities/Units The summation of the number of exited households (column 3) and the number of continuing households (column 2) <u>must equal</u> the total number of households (column 1). All exited households must have a destination reported. The status of all households receiving short-term assistance at the end of the operating year (column 3) must sum to equal the total number of households reported as receiving HOPWA assistance (column 1).</p> <p>Ensure the number of households reported in column 1 for each type of housing assistance is the same number of households reported as receiving each type of housing assistance in Part 3C in lines 1, 2a, 2b, 3a, 3b.</p>	Household
<input type="checkbox"/>	<p>Section 2. Prevention of Homelessness: STRMU Column 1 indicates the number of households receiving STRMU. Column 2 must contain outcome data on all the households receiving STRMU. <u>Note, the outcome categories differ slightly from the outcome categories in Section 1.</u></p> <p>Ensure the number of households reported in column 1 and the sum of column 2 is equal to the total number of households receiving STRMU reported in Part 3C line 4.</p>	Household
<input type="checkbox"/>	<p>Section 3. Access to Care and Support: In Chart 1a (Status of Households Accessing Care and Support by Project Sponsors delivering HOPWA Housing Assistance), specify the number of households accessing each service category within the operating year. In Chart 1b, specify the number of households obtaining employment. <u>The number of households in this outcome section can not exceed the number of households reported as receiving these services in Part 3C, line 10a.</u> Ensure that is households were reported in this section, households were reported in the housing assistance section of the APR.</p> <p>In Chart 1a (Status of Households Accessing Care and Support through HOPWA-funded Services receiving Housing Assistance from Other Sources), specify the number of households accessing each service category within the operating year. In Chart 1b, specify the number of households obtaining employment. <u>The number of households in this outcome section can not exceed the number of households reported as receiving these services in Part 3C, line 10b.</u></p>	Household

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Part 5A, Summary of Project Sponsor Information

Chart 1. Project Sponsor Information
 Include sponsor agency name, name and title of contact, address, phone and fax numbers.

 Complete new required information including EIN/TIN, DUN and Bradstreet numbers, and congressional districts, zip codes, cities, and counties of service areas Note: this is a new data element required by the Federal Funding and Accountability Transparency Act 2006.

 Indicate if organization is a nonprofit organization, and if it is a faith-based and/or grassroots organization.

 Specify if the organization maintains a waiting list.

Chart 2. Subrecipient Information/Sponsor Activities
 Complete information for each organization implementing project sponsor functions such as service delivery to HOPWA clients, with a contract of \$25,000 or more in the form of a grant, subgrant, cooperative agreement, contract, subcontract, purchase order, and delivery order.

 Include name, contact information, address, EIN/TIN, DUN & Bradstreet numbers, NAICS code, congressional districts, zip codes, cities, counties of service areas, and contract amount. If there are multiple organizations, please add additional charts to the APR to complete information required. Note: this is a new data element required by the Federal Funding and Accountability Transparency Act 2006.

Part 5B Non facility-based Housing Assistance (TBRA, STRMU)

Chart 1. Tenant Based Rental Assistance (TBRA)
 Specify number of households receiving TBRA HOPWA housing assistance for each project sponsor and the amount of HOPWA funds expended in line a. For any other rental assistance programs, if approved in the grant agreement, please include information in line b. Sum lines a and b and report total in line c.

Household and Funds Expended

Chart 2. Short-Term Rent, Mortgage and Utility Assistance (STRMU)
 Specify number of households receiving TBRA HOPWA housing assistance for each project sponsor and the amount of HOPWA funds expended in line a.

 From the total reported in line a, report the number of households and amount of funds expended to homeowners in line b.

Household and Funds Expended

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Part 5C Facility-based Housing Assistance

<input type="checkbox"/>	<p>Chart 1a. Project Site Information for Capital Development Projects Each facility must be reported on separately, using Part 5C. List the type of development, the type of facility, and the non-HOPWA and HOPWA funds expended are listed.</p> <p>Complete information on the dates of purchase, construction, operation, number of units, the status of a waiting list, the address of the facility, and confidentiality of the location of the project site (lines a through h).</p>	
<input type="checkbox"/>	<p>Chart 1b. Type of Capital development Project Units List the number of units that fulfill the criteria in this section.</p>	
<input type="checkbox"/>	<p>Note:</p> <p>Charts 2a, 2b, and 3 are required for each facility completed during the program year and opened (with a corresponding Chart 1a and Chart 1b)</p> <p>Charts 2a, 2b, and 3 are required for each facility already in full operation</p> <p>Each facility must have its own set of charts.</p>	
<input type="checkbox"/>	<p>Chart 2a. Check if the facility is Permanent Supportive Housing Facility/Units or Short-term Shelter or Transitional Supportive Housing Facility/Units</p>	
<input type="checkbox"/>	<p>Chart 2b. Indicate the number of bedrooms per unit by type of housing facility. Ensure the number of units reported in 1a is the same as the total number of units reported in 2 if reporting on a capital development project.</p>	Units
<input type="checkbox"/>	<p>Chart 3. Housing Expenditures Input the number of households served and funds expended for leasing costs, operating costs, Project-Based Rental Assistance (PBRA), and Other Activity if approved in the grant agreement in lines a through d. After adjusting for duplication in line e, complete the total amount for facility-based housing assistance.</p>	Household and Funds Expended

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Part 5D Supportive Services

Chart 1. Supportive Services by Type of Project Sponsor

For each sponsor, indicate if supportive services are provided by sponsors also delivering HOPWA housing assistance (line a), or if the sponsor serves households with other housing arrangements that therefore are not receiving HOPWA housing assistance (line b).

Household and Funds Expended

Chart 2. Supportive Services Provided by Project Sponsor Agency

Ensure the number of households served and the amount of funds expended for each type of supportive service is included.

Household and Funds Expended

Complete lines 1 through 14, indicating the number of households served and funds expended by type of supportive service. Every line that has a number of households reported must have the amount expended on those households, and vice versa.

Then, input the number of households receiving multiple types of supportive services in line 15 to adjust for duplication. Input the total number of households and funds expended in line 16.

Complete lines 17 and 18 for housing placement assistance and then input the number of households receiving more than one type of assistance in line 19. Input the total number of households and funds expended in line 20.

For lines 21 through 25, report the funds expended for administration and other costs expended. If another activity is approved in the grant agreement, include in line 26 and report households and funds expended.

In line 27, report all expenditures for the sponsor agency (sum of lines 16, 20, and 26).

Part 5E HOPWA Housing Project Certification of Continued Usage for Facility-Based Stewardship Units Only

Ensure the grant year, operating year, grantee name and date the facility began operations is included.

Account for number of units receiving HOPWA housing assistance and amount of leveraging. Also, include name of the project, site information, and confidentiality information.

Number of Units and Leveraging

Verify accuracy of information and provide signatures at bottom of Part 3.