

Annual Performance Report (APR) Review

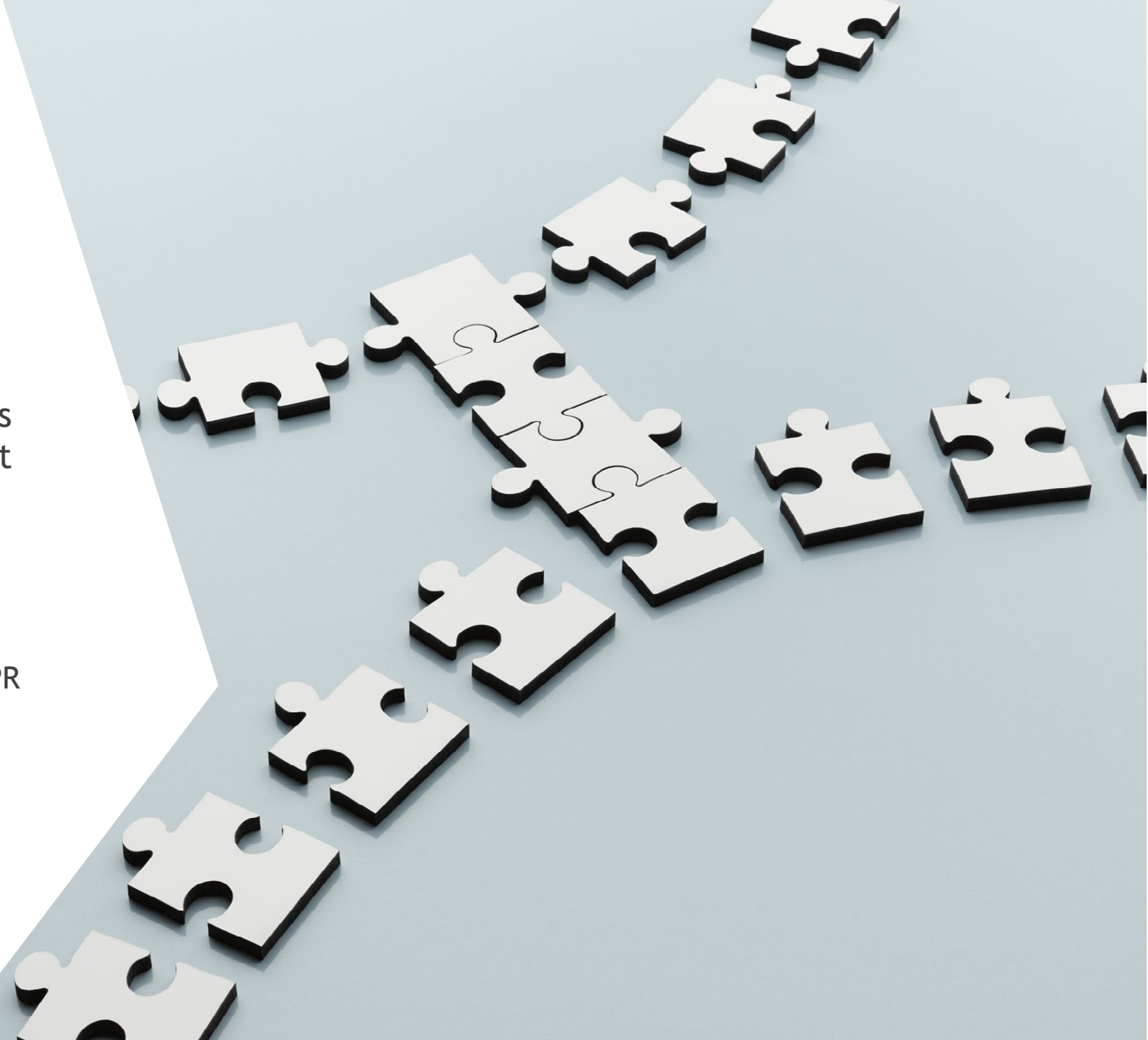
Presented By:

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Goals and Objectives

- ▶ The objective for this training is that recipients will be able to better understand the CoC Program interim rule requirements and responsibilities related to Annual Performance Report Submissions.
- ▶ The goal of the training is to:
 - ▶ communicate how HUD reviews an APR
 - ▶ share how to reduce resubmissions
 - ▶ provide resources



Why are the APR submissions important?

Accurate APR submissions matter! And here's why:

- ▶ Every year representatives of HUD's various divisions are required to go to Congress to justify the Agency's requests for funding. The amount of funding allocated to the CoC program nationwide is based on the factual information we can present.
- ▶ Facts are based on accurate data and accurate data can only come from you...our Grantees. Our mission is to pass through funds to you so that you may serve disenfranchised populations effectively. Your APR reports are the tools from which we are able to aggregate hard numbers both by region and nationally of homeless persons being served, rates of expenditure and the success of the efforts that our Congressional allocations support. Your information is what allows us a basis on which to develop our yearly proposals for funding and for increases where needed.
- ▶ So, you need to accurately report what you have done. The value of your reporting is expressed in your expenditure rates, the number of people served, which categories of homelessness they are defined by and the results of your expenditures of public funds in terms of your outcomes. Continued funding depends on accurate data. In short, your reporting supports our ability to fund you at the highest rates possible so we can renew your grants each year. So, you need to help us help you by making your reports accurate. And THAT my friends, is why APRs matter.

▶ About APRs

What is the APR?

Where are APRs submitted?

What is the APR?

- ▶ Per 578.103(e), “the recipient must collect and report data on its use of Continuum of Care funds in an Annual Performance Report (APR), as well as in any additional reports as and when required by HUD.”
- ▶ Recipients with HUD funding received through CoC homeless assistance are required to submit an Annual Performance Report (APR) electronically to HUD every operating year.
- ▶ Data collection for the APR is aligned with the most recent version of the Homeless Management Information System (HMIS) Data Standards.

*FY 2022 HMIS Comparable Database Manual
(released October 2021)*

Where are APRs submitted?

The screenshot shows the HUD Exchange website. At the top, there is a navigation bar with the HUD Exchange logo and menu items: My HUD Exchange, Programs, Resources, Trainings, Program Support (highlighted), and Grantees. Below the navigation bar, the page title is "Program Support" with a subtitle: "HUD offers different types of program support through the Community Compass Technical Assistance program, including answers to policy questions and in-depth program assistance for grantees." Underneath, there is a section titled "Find Program Guidance and Training" with three main cards:

- Find Guidance about HUD Policies and Programs**: Explore the Program & Related Topics landing pages that provide everything you need to administer your programs in one place. Browse the Resource Library to find regulations, policy guidance, FAQs, and other resources. Visit the Trainings page to find and register for upcoming trainings, take online trainings, watch training videos, and look through the past training archive.
- Ask a Basic Policy Question on a HUD Program**: Get answers to the following types of questions using Ask A Question:
 - ✓ Eligible activities, costs, and participants
 - ✓ Income determination, rent limits, property standards, program income
 - ✓ Requirements, such as Environmental Review
- Ask a HUD Reporting System Question (e.g., DRGR, IDIS, Sage)**: Request support from professionals on the following using Ask A Question:
 - ✓ System errors and troubleshooting, password resets, user accounts
 - ✓ Drawdowns, activity setup and update, submitting APRs and QPRs

- ▶ APRs are submitted and reviewed in HUD's Sage HMIS Reporting Repository.
- ▶ Recipients are required to submit APRs **no later than 90 days** after the expiration of the grant.
- ▶ If you have technical questions regarding the APR submission or the Sage system, please submit them to **Ask A Question in HUD Exchange**.

****We recommend that grantees consult the SAGE user guide and resource before submitting An Ask a Question on Sage and/or calling your Reps.**

PH-PSH

Permanent Housing: Permanent Supportive Housing

PH-RRH

Permanent Housing: Rapid Re-Housing

TH

Transitional Housing

Joint TH-RRH

Joint Transitional Housing and Rapid Re-Housing

SSO

Supportive Services Only

HMIS

Homeless Management Information System

Program Components

Sections of Housing APR



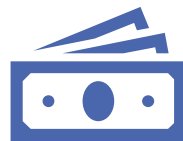
▶ Timeliness



▶ Bed/Unit Inventory



▶ Program Eligibility



▶ Financial*

**Staff should talk to each other before submitting the APR. Sometimes the program staff submits the APR and then the financial staff submits a voucher after the submission of the APR. Please ensure the APR is submitted after verification that all vouchers have been completed.*

Other Annual Performance Reports

Homeless Management
Information System (HMIS)
Project

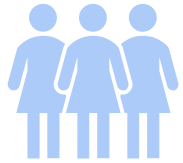
Supportive Services Only
(SSO) Project

Planning Grant

Homeless Management Information System (HMIS) Project



- ▶ Timeliness - If the initial submission is late, then the Grantee must provide an explanation for the untimely submission. This can be done via email or under “Additional Comments.”



- ▶ Issues - All responses should be marked “Yes.” If not, the Grantee must provide an explanation under “Additional Comments.”



- ▶ Coverage - If not 100%, Grantee must provide a brief narrative on how progress continues to be planned.



- ▶ Financial - The difference between the APR total and LOCCS total must be \$0. The 25% match requirement must be met.

Timeliness Review

Operating end date	6/30/2021
APR Due	9/28/2021
Initial submission	9/20/2021

Is the submission timely? **Yes**

INTERNAL NOTES ONLY
These notes will not be transmitted or visible to the recipient. **The APR was submitted on time.**

Review Issues
These items are pulled out from the HMIS APR for the CPD Field Office Review as they are specific to HUD's HMIS requirements for the

The CoC has designated the HMIS software	Yes
The CoC governance charter establishes the decision making structure for HMIS	Yes
The HMIS Lead has worked with all CoC's to develop basic technical, security, privacy and data quality standards?	Yes
All users have signed a user agreement	Yes
All agencies have signed an Agency Agreement	Yes

HUD reports able to be generated by the HMIS. All should be indicated with a Yes.

AHAR	Yes
APR	Yes
CAPER	Yes
System Performance Measures	Yes
Data Quality Report	Yes

Are all responses "yes"? **Yes**

INTERNAL NOTES ONLY
These notes will not be transmitted or visible to the recipient.

Coverage
HUD continues to ask HMIS to be working towards full coverage. Review the coverage and if not 100% the brief narrative and determine

[VIEW COVERAGE RATES](#)

Narrative

Coverage acceptable? **Yes**

INTERNAL NOTES ONLY
These notes will not be transmitted or visible to the recipient. **Progress continues to be planned.**

**HUD continues to ask HMIS to be working towards full coverage. Review the coverage and if not 100% the brief narrative and determine if progress continues to be planned.*

	Number of Beds in the Most Recent HIC (Minus Any DV Beds)	Number of Beds on HMIS in the Most Recent HIC	Percent Coverage
Emergency Shelter	22	22	100.00%
Transitional Housing	136	132	97.06%
Permanent Supportive Housing	291	272	93.47%
Rapid Re-Housing	19	19	100.00%
Safe Haven	0	0	NaN%

Close Print

**HUD continues to ask HMIS to be working towards full coverage. The coverage is not 100% here, therefore HUD will use the brief narrative to determine if progress continues to be planned.*

Financial

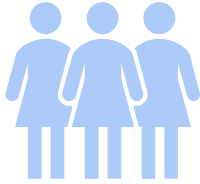
HUD Funds Expended	eSNAPS Amount Awarded	Amended Budget	LOCCS Drawn	APR
Equipment				\$0
Software				\$22,740.00
Services				\$0
Personnel				\$16,850.42
Space and Operations				\$0
Administration				\$4,632.00
Total HUD-funded expenditures	\$50,952.00	\$50,952.00	\$44,222.42	\$44,222.42
Difference between APR Total and LOCCS Total				\$0
Match				
Cash match				\$0
In-kind match				\$11,055.61
Total match				\$11,055.61
Total expenditures requiring a match				\$44,222.42
Percentage match				25.00%
Total budget (HUD funds plus match)				\$55,278.03

Finances acceptable? **Yes**

 **INTERNAL NOTES ONLY**
 These notes will not be transmitted or visible to the recipient. **there is no financial discrepancy. The 25% match requirement was met.**

**The difference between the APR and LOCCS column should be \$0. The LOCCS drawn column shows the amount the agency expended while the APR column represent the agency's internal financial records.*

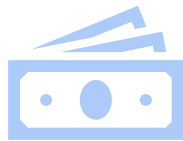
Supportive Services Only (SSO) Project



- ▶ Description of Coordinated Entry (CE) - Grantee needs to provide a description of its CE process.



- ▶ Timeliness - If the initial submission is late, then the Grantee must provide an explanation for the untimely submission.



- ▶ Financial - The difference between the APR total and LOCCS total must be \$0. The 25% match requirement must be met.

Description of Coordinated Entry from APR Submission

Timeliness Review

Operating end date 6/30/2020
APR Due 9/28/2020
Initial submission 9/28/2020

Is the submission timely? Yes

INTERNAL NOTES ONLY

These notes will not be transmitted or visible to the recipient. The APR was submitted in a timely manner.

Financial

Reviewer notes: 1. Grants fulfilling a use restriction (indicated by -CC after the grant number) and SRO's do not have financial information reported. Expenditures do not match the dollars reported in the LOCCS draw the reviewer should check the LOCCS system prior to returning the APR to the

	eSNAPS Amount Awarded	Amended Budget	LOCCS Drawn	APR
Development	\$0	\$0	\$0	\$0
Supportive Services	\$148,858.00	\$148,858.00	\$127,023.63	\$127,023.63
Operating	\$0	\$0	\$0	\$0
Leasing	\$8,112.00	\$8,112.00	\$7,560.66	\$7,560.66
Rental Assistance	\$0	\$0	\$0	\$0
HMIS	\$0	\$0	\$0	\$0
Admin	\$15,697.00	\$15,697.00	\$15,697.00	\$15,697.00
CoC Planning (UFA only)	\$0	0	\$0	0
UFA Costs	\$0	0	\$0	0
Total	\$172,667.00	\$172,667.00	\$150,281.29	\$150,281.29

Difference between APR Total and LOCCS Total \$0

Match

Cash match	\$0
In-kind match	\$35,681.00
Total match	\$35,681.00
Total expenditures requiring a match	\$142,720.63

Percentage match 25.00%

Total budget \$185,962.29

**Grantees should provide a Description of the Coordinated Entry Process in the APR Submission.*



Timeliness

If the initial submission is late, then the Grantee must provide an explanation for the untimely submission.



*Planning Actions & Outcomes

The Grantee needs to explain how funds were used and provide an explanation of outcomes.



Financial

The difference between the APR total and LOCCS total must be \$0. The 25% match requirement must be met.



**Grantee should check the original grant application to see which actions were marked "yes." The APR should match the grant application. If not, the grantee needs to provide a reasonable explanation*

Planning Grant

Planning Actions and Outcomes

Close

From the list of eligible expenses below check all of the activities that were funded under this CoC Planning Grant.

Coordination Activities	Yes
Project Evaluation	Yes
Project Monitoring Activities	Yes
Participation in the Consolidated Plan	Yes
CoC Application Activities	Yes
Determining Geographical Area to be Served by the CoC	No
Developing a CoC System	No
HUD Compliance Activities	No

Explain how the CoC Planning Grant funds were used

**The grantee needs to provide an explanation of how funds were used and describe the outcomes your CoC observed as a result of the CoC Planning Grant.*

SAGE Screenshot

Financial

Activities	Activities Funded in Award	e-snaps Amount Awarded	LOCCS Drawn	HUD Dollars Expended
Coordination Activities	✓			\$23,378.77
Project Evaluation	✓			\$5,787.50
Project Monitoring Activities	✓			\$2,207.50
Participation in the Consolidated Plan	✓			\$840.75
CoC Application Activities	✓			\$16,931.75
Determining Geographical Area to be Served by the CoC				\$0
Developing a CoC System				\$0
HUD Compliance Activities				\$0
Total		\$98,434.00	\$49,146.27	\$49,146.27
Difference between APR Total and LOCCS Total				\$0
Match				
Cash Match				\$0
In-Kind Match				\$14,954.23
Total Match				\$14,954.23
Total Expenditures Requiring a Match				\$49,146.27
Percentage Match				30.43%
Total budget (HUD funds plus match)				\$64,100.50
Planning activities matched proposed?	Yes			
Finances acceptable?	Yes			

**The APR should reflect that only planning activities funded in the award were administered. If not, the grantee needs to provide a reasonable explanation.*

Timeliness

- ▶ Submissions are considered timely if they are submitted by the due date.
- ▶ If the initial submission is late, then the grantee must provide a reasonable explanation for the untimely submission.
- ▶ This can be done via email or under “additional comments.”
- ▶ Please note: For the purposes of timeliness, HUD looks at the initial submission date.

Timeliness Review

Operating end date	6/30/2021
APR Due	9/28/2021
Initial submission	9/20/2021



Is the submission timely?

Yes

Bed/Unit Inventory and Utilization

BED/UNIT INVENTORY AND UTILIZATION

A review of the Bed and Unit Inventory in the APR by the CPD Representative will consist of the following elements:

1. Element 1: Inventory- compare the proposed inventory stated in the grant application against the actual inventory made available with grant funds during the period of performance.
2. Element 2: Utilization- Then, compare the actual inventory against the actual number of persons/households served throughout the grant year.

ACTUAL INVENTORY

As Proposed in the Application	Occupied AND Available for Occupancy As Completed in the APR by the Recipient				Average % of Actually Available to
Total	January	April	July	October	Proposed



- ▶ The number of beds and units identified in the grant application and submitted in e-snaps. These represent the number of beds/units funded under the award.
- ▶ Neither the Grantee, nor the CPD Rep, can modify the proposed inventory (unless a formal amendment is made), this information is sourced from e-snaps.

ACTUAL INVENTORY

As Proposed in the Application	Occupied AND Available for Occupancy As Completed in the APR by the Recipient				Average % of Actually Available to
Total	January	April	July	October	Proposed

- ▶ This data is manually entered by the Grantee.
 - ▶ Occupied means a unit which has persons residing within the unit (Count each unit and bed)
 - ▶ Available for occupancy means a unit which is “readily available” to be occupied.

***The number generally should be the same number as what was proposed, unless there is an over-capacity project where the grantee is overserving or a scattered site program that is renting to the dollars.*

ACTUAL INVENTORY

As Proposed in the Application	Occupied AND Available for Occupancy As Completed in the APR by the Recipient				Average % of Actually Available to
Total	January	April	July	October	Proposed

- ▶ Point-in-time snapshot- enter in the inventory data as it was on the last Wednesday of each month.

ACTUAL INVENTORY

As Proposed in the Application	Occupied AND Available for Occupancy As Completed in the APR by the Recipient				Average % of Actually Available to
Total	January	April	July	October	Proposed

- ▶ Sage will automatically calculate the project's Average. The Average is calculated as follows: Sum of all the months and divided by 4 to create the average occupied and available. Divide the average occupied and available by the number proposed in the application and the resulting percentage will be the Average.
- ▶ Whenever the actual inventory is less than 100%, there must be comments provided by the grantee.
- ▶ If the Grantee does not populate accurate inventory data, then there will not be an accurate utilization rate calculated in the next section of the APR.

HOUSEHOLDS/PERSONS SERVED



	ACTUAL UNITS	HOUSEHOLDS SERVED	UTILIZATION (HOUSEHOLDS SERVED / ACTUAL UNITS)
January			
April			
July			
October			

	ACTUAL BEDS	PERSONS SERVED	UTILIZATION (PERSONS SERVED / ACTUAL BEDS)
January			
April			
July			
October			



- ▶ Represents the number of units/beds occupied AND available for occupancy as reported by the recipient in the Bed and Unit Inventory and Utilization form of the APR. The column equals the information discussed in the previous chart.

HOUSEHOLDS/PERSONS SERVED

	ACTUAL UNITS	HOUSEHOLDS SERVED	UTILIZATION (HOUSEHOLDS SERVED / ACTUAL UNITS)
January			
April			
July			

	ACTUAL BEDS	PERSONS SERVED	UTILIZATION (PERSONS SERVED / ACTUAL BEDS)
January			
April			
July			
October			

- ▶ Number of persons/households actually served is sourced from HMIS (or comparable system)

HOUSEHOLDS/PERSONS SERVED



	ACTUAL UNITS	HOUSEHOLDS SERVED	UTILIZATION (HOUSEHOLDS SERVED / ACTUAL UNITS)
January			
April			
July			
October			

	ACTUAL BEDS	PERSONS SERVED	UTILIZATION (PERSONS SERVED / ACTUAL BEDS)
January			
April			
July			
October			



- ▶ The utilization rate is the ratio of the persons/households served to the actual units, expressed as a percentage.
- ▶ CPD Notice issued in September 2014 determined these utilization rates:
 - ▶ Transitional Housing- 80% utilization rate
 - ▶ Permanent Housing- 85% utilization rate

Example of Incorrect Reporting

Bed and Unit Inventory

Proposed to Actual Inventory

Reviewer note: If the proposed inventory is blank it was not received by Sage from e-snaps. The reviewer should check the application in e-snaps. The recipient cannot enter the proposed information in the APR. Thus, the reviewer will need to calculate themselves.

	As Proposed in the Application Total	Occupied AND Available for Occupancy As Completed in the APR by the Recipient				Average % of Actually Available to Proposed
		January	April	July	October	
Units	100	71	73	79	78	75.25%
Beds	100	71	73	79	78	75.25%

- ▶ The numbers should be 100 units and beds for all 4 quarters.
- ▶ The Average % should be 100%

Persons/Households Relative to Available Inventory

Reviewer note: This inventory compares the number of units and beds actually available **on the last Wednesday of the month** to the number of households and persons served at the same four points in time. The units and beds come from the recipient's bed/unit inventory in the APR and the number of persons served comes from the CSV upload of persons served as reported in HMIS.

	Actual Beds	Persons Served	Utilization (Persons Served / Actual Beds)
January	71	71	100.00%
April	73	73	100.00%
July	79	79	100.00%
October	78	78	100.00%

- ▶ The numbers of persons served would stay the same.
- ▶ The utilization rates would be an average of 75.25%

- ▶ The numbers should be 100 units and beds for all 4 quarters.

Example of Over-Capacity Project

Bed and Unit Inventory

Proposed to Actual Inventory

Reviewer note: If the proposed inventory is blank it was not received by Sage from e-snaps. The reviewer should check the application in e-snaps. The recipient cannot enter the proposed information in the APR. Thus, the reviewer will need to calculate the percentages themselves.

	As Proposed in the Application Total	Occupied AND Available for Occupancy As Completed in the APR by the Recipient					Average % of Actually Available to Proposed
		January	April	July	October		
Units	40	69	73	74	73	180.63%	
Beds	40	69	73	74	73	180.63%	

Persons/Households Relative to Available Inventory

Reviewer note: This inventory compares the number of units and beds actually available on the last Wednesday of the month to the number of households and persons served at the same four points in time. The units and beds come from the recipient's completion of the bed/unit inventory in the APR and the number of persons served comes from the CSV upload of persons served as reported in HMIS.

	Actual Beds	Persons Served	Utilization (Persons Served / Actual Beds)
January	69	69	100.00%
April	73	73	100.00%
July	74	74	100.00%
October	73	73	100.00%

Recipient's Comments on Differences

***We added units to this project over the years without requesting additional funds. So, we have more units dedicated to the project than what's in the application.

Program Eligibility

Eligibility Per Component Type

	PSH*		RRH	TH	SSO
	New ±	Renewal			
Category 1 <i>Literally Homeless</i>	X	X	X**	X	X
Category 2 <i>At Imminent Risk</i>				X	X
Category 3 <i>Homeless under other federal programs</i>	* No CoC was approved to serve Category 3 with FY 2019 CoC Program Funds				
Category 4 <i>Fleeing domestic violence, etc.</i>	X	X	X	X	X

± Requires chronic homeless status

* Requires a disability

** Must be residing on the streets or in an emergency shelter

ELIGIBLE HOMELESS SITUATIONS

Program Eligibility

	Total	Without Children	With Children and Adults	With Only Children	Unknown Household Type
Homeless Situations					
Emergency Shelter	5	2	0	0	3
Transitional Housing	0	0	0	0	0
Place not Meant for Human Habitation	2	1	1	0	0
Safe Haven	1	0	0	0	1
Interim Housing	0	0	0	0	0
Institutional Settings	0	0	0	0	0
Other Locations	9	5	1	1	2
Total	17	8	2	1	6

[VIEW FULL TABLE](#)

OTHER LOCATIONS

Other Locations					
Permanent housing (other than RRH) for formerly homeless persons	0	0	0	0	0
Owned by client, no ongoing housing subsidy	0	0	0	0	0
Owned by client, with ongoing housing subsidy	0	0	0	0	0
Rental by client, with RRH or equivalent subsidy	0	0	0	0	0
Rental by client, with HCV voucher (tenant or project based)	0	0	0	0	0
Rental by client in a public housing unit	0	0	0	0	0
Rental by client, no ongoing housing subsidy	1	1	0	0	0
Rental by client, with VASH subsidy	0	0	0	0	0
Rental by client with GPD TIP subsidy	0	0	0	0	0
Rental by client, with other housing subsidy	0	0	0	0	0
Hotel or motel paid for without emergency shelter voucher	2	1	0	0	1
Staying or living in a friend's room, apartment or house	3	0	1	1	1
Staying or living in a family member's room, apartment or house	3	3	0	0	0
Client Doesn't Know/Client Refused	0	0	0	0	0
Data Not Collected	0	0	0	0	0
Subtotal	9	5	1	1	2
Total	17	8	2	1	6

- ▶ For PH grants, clients coming from “other locations” is not permissible (except for DV clients). The Grantee must provide comments to explain, if there are no comments provided then the CPD Rep will reject the APR.

Financial Section

It's time for a ...



THE
**GAME
SHOW**
CHALLENGE

TRUE OR FALSE?

1. Financial information is required for every APR.
2. It is not necessarily expected that the financial expenditures of HUD funds shown on the APR match the funds drawn on the grant from the LOCCS system.



**THE
GAME
SHOW
CHALLENGE**

TRUE OR FALSE?

3. During the reconciliation period, you can incur admin costs from outside of the period of performance.
4. Grantees must record all cash and in-kind match expended on this project, including if the recipient expended more match than was required



THE
**GAME
SHOW**
CHALLENGE

TRUE OR FALSE?

1. Financial information is required for every APR. **TRUE**

(This was an easy question to get everyone warmed up.)

2. It is not necessarily expected that the financial expenditures of HUD funds shown on the APR match the funds drawn on the grant from the LOCCS system. **FALSE**

LOCCS and the APR must match.
We will cover this later. This is why we are here to learn.



THE
**GAME
SHOW**
CHALLENGE

TRUE OR FALSE?

3. During the reconciliation period, you can incur admin costs from outside of the period of performance. **FALSE**

Only expenditures for activities that occurred prior to the expiration of the grant can be drawn in the reconciliation period.

4. Grantees must record all cash and in-kind match expended on this project, including if the recipient expended more match than was required. **TRUE**

So ... Let's get into it! Finances!



THE
**GAME
SHOW**
CHALLENGE

What is HUD looking at for Financial Information?

Does this look familiar?

Very often, HUD's access view and the Grantee's access view are very different in the various online HUD systems.

This is not the case in Sage. Grantees and HUD have an almost identical view and therefore working together to troubleshoot problems can be much easier than we think.

(Shall we begin?)

Development		HMIS	
Acquisition	0	Equipment (Server, Computers, Printers)	652.85
Rehabilitation	0	Software (Software Fees, User Licenses, Software Support)	0
New Construction	0	Services (Training, Hosting, Programming)	0
Development Subtotal	0.00	Personnel (Costs Associated with Staff)	97.15
		Space and Operations	0
		HMIS Subtotal	750.00
Supportive Services		Leasing, Rental Assistance, and Operating	
Assessment of Service Needs	0	Real Property Leasing (Does Not Require Match)	0
Assistance with Moving Costs	0	Short /Medium-Term Rental Assistance	0
Case Management	19,244.64	Long-Term Rental Assistance	31,258.35
Child Care	0	Operating Costs	0.00
Education Services	0	Leasing, Rental Assistance, & Operating Subtotal	31,258.35
Employment Assistance	0		
Food	0	Administration	
Housing /Counseling Services	0	Administration	3,593.82
Legal Services	0	Administration Subtotal	3,593.82
Life Skills	0		
Mental Health Services	0	Total Expenditures	
Outpatient Health Services	0	Total Expenditures	54,846.81
Outreach Services	0		
Substance Abuse Treatment Services	0	Match	
Transportation	0	Cash Match	17,453.99
Utility Deposits	0	In-Kind Match	400.00
Operating	0	Total Match	17,853.99
Supportive Services Subtotal	19,244.64	Total Expenditures Requiring a Match	54,846.81
		Percentage Match	32.55%
		Total Budget (Expenditures Plus Match)	72,700.80

This is what HUD is looking at ... let's go through the columns.

the LOCCS system prior to returning the APR to the recipient; 3. Real Property Leasing does not require a match.

	eSNAPS Amount Awarded	Amended Budget	LOCCS Drawn	APR
Development	\$0	\$0	\$0	\$0
Supportive Services	\$22,150.00	\$22,150.00	\$12,446.11	\$12,446.11
Operating	\$2,209.00	\$2,209.00	\$1,336.28	\$1,336.28
Leasing	\$73,511.00	\$73,511.00	\$73,511.00	\$73,511.00
Rental Assistance	\$0	\$0	\$0	\$0
HMIS	\$4,850.00	\$4,850.00	\$2,171.82	\$2,171.82
Admin	\$6,735.00	\$6,735.00	\$1,121.88	\$1,121.88
CoC Planning (UFA only)	\$0		\$0	
UFA Costs	\$0		\$0	
Total	\$109,455.00	\$109,455.00	\$90,587.09	\$90,587.09
Difference between APR Total and LOCCS Total				\$0

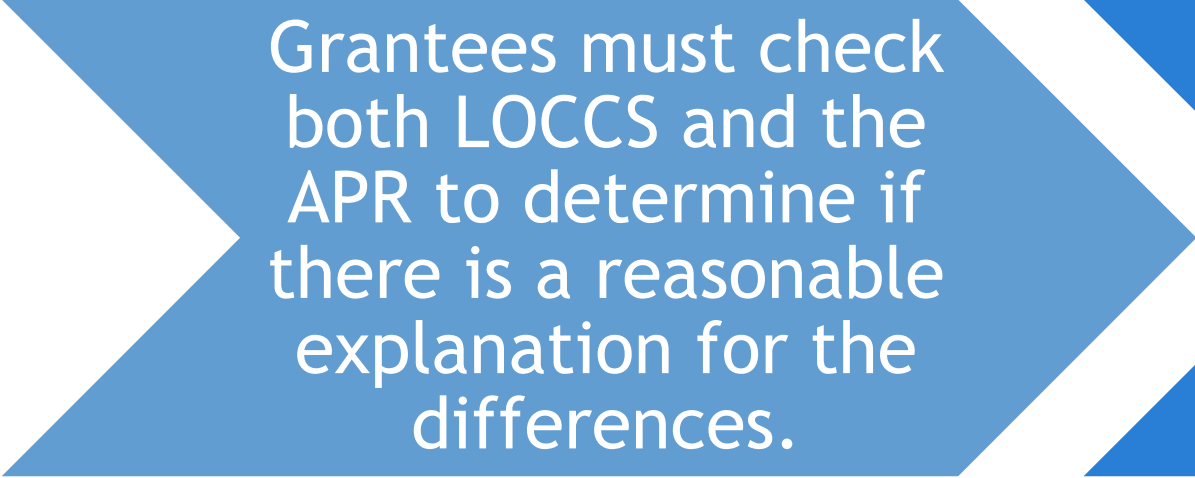
1. **e-SNAPS Amount Awarded** – indicates what was awarded to the Grantee at award time.
2. **Amended Budget** – reflects any amendments made by the Field Office and changed in LOCCS.
3. **LOCCS Drawn** – reflects the amount of funds drawn (as of the date the grant information was updated on shown in Grant and Project Information).
4. **APR** – shows the expenditures from the APR form completed by the recipient. There is a line that calculates the difference between the APR Total and the LOCCS Total.



LOCCS and APR must match

	eSNAPS Amount Awarded	Amended Budget	LOCCS Drawn	APR
Total	\$51,000.00	\$51,000.00	\$28,502.56	\$48,273.08
Supportive Services	\$8,328.00	\$8,328.00	\$4,143.82	\$8,328.00
CoC Planning (UFA only)	\$0		\$0	
UFA Costs	\$0		\$0	
Rental Assistance	\$0	\$0	\$0	\$0
HMIS	\$0	\$0	\$0	\$0
Operating	\$3,535.00	\$3,535.00	\$508.88	\$3,399.58
Development	\$0	\$0	\$0	\$0
Leasing	\$36,078.00	\$36,078.00	\$23,080.00	\$35,020.00
Admin	\$3,059.00	\$3,059.00	\$769.86	\$1,525.50
Difference between APR Total and LOCCS Total				\$-19,770.52

What if there are differences between the budget line items in the LOCCS and APR's totals?



Grantees must check both LOCCS and the APR to determine if there is a reasonable explanation for the differences.



For example:



What if there are differences between the LOCCS and APR's totals?



BL049437011804

[Redacted]

Special Needs Assistant (SNAP)

Budget

Vouchers

Recent Emails

[Redacted]

IC



Core Award Dates		Award Amounts	
LOCCS Created:	02-13-2019	Committed:	51,000.00
POP Start:	01-01-2020	Obligated:	51,000.00
POP End:	12-31-2020	Contracted:	51,000.00
Final Report(s) Due:	03-31-2021		
Closeout:			
Other Dates/Elements		LOCCS Amounts	
Operating Start:	01-01-2020	Authorized:	51,000.00
Term (months):	12	Disbursed:	48,273.08
		Balance:	2,726.92

Organization

[Redacted]

URI Organization (Information from GSA SAM.gov)

[Redacted]

Renewal Date: 05-23-2022

actual tax ID

Program Area Level Payment Information

ABA No.: [Redacted]

Account No.:

Payee Name:

[Redacted]

Invoice Mailing Address

contractual -

Payee Organization

Tax ID:

- same as contractual -

By

CoC Closeout Agreement available

Open LOCCS ...
Click on Vouchers ...

Now ... take a look at the vouchers listed

LOCCS Web

Line of Credit Control System (A67)
Award Detail

IL0449L5T011806

special Award Assistance (SMAA)

User: E. Steel

Home Budget Vouchers Recent Emails

	Voucher No.	Entered	Amount	Paymt Mtd	Alt Payee	Sched No.	Est Deposit Date
✓	2211	03-31-2021 07:44 PM ES	10,775.77	A			04-02-2021
✓	2452	03-30-2021 07:40 PM ES	8,994.75	A			04-01-2021
✓	5317	09-29-2020 10:02 AM ES	3,749.77	A			10-01-2020
✓	1499	09-10-2020 02:31 PM ES	5,341.71	A			09-14-2020
✓	2440	07-24-2020 03:17 PM ES	2,985.00	A			07-28-2020
✓	3782	06-10-2020 02:24 PM ES	4,418.55	A			06-12-2020
✓	7923	05-11-2020 05:05 PM ES	3,224.96	A			05-13-2020
✓	1199	04-03-2020 01:37 PM ES	2,912.57	A			04-07-2020
✓	3924	03-11-2020 12:28 AM ES	2,935.00	A			03-13-2020
✓	5193	03-06-2020 01:57 PM ES	2,935.00	A			03-10-2020

1 of 10 Data ***

Remember ... the difference between the LOCCS and the APR = \$19,770.52

Are there any outstanding vouchers which may not have been disbursed into the local account included in the APR?

Sched No	Est Deposit Date
	04-02-2021
	04-01-2021
	10-01-2020
	09-14-2020
	07-28-2020
	06-12-2020
	05-13-2020
	04-07-2020
	03-13-2020
	03-10-2020

Are there any outstanding vouchers which may not have been disbursed into the local account included in the APR?

LOCCS Line of Credit Control System (A67)
Voucher Detail

Voucher Number: [Redacted] eLOCCS entered by: [Redacted]

Voucher Total: [Redacted] Treasury Confirmation Date: 03-31-2021 07:44 PM EST

Treasury Schedule No: [Redacted] Treasury Confirmation Date: 04-02-2021

Status: [Redacted] 2021 Region/Office: 05/01

Grant: [Redacted]

Banking Information

Recipient Name: [Redacted]

ABA No.: [Redacted]

Acct No.: [Redacted]

Payee Id.: [Redacted]

Line Item	Name	Amount
1000	Operating Costs	2,890.70
1050	Supportive Services	4,184.18
1060	Administrative	713.89
1100	Leasing	2,985.00

LOCCS Web Line of Credit Control System (A67)
Voucher Detail

Voucher Number: [Redacted] eLOCCS entered by: [Redacted]

Voucher Total: [Redacted] Treasury Confirmation Date: 03-30-2021 07:40 PM EST

Treasury Schedule No: [Redacted] Treasury Confirmation Date: 04-01-2021

Status: [Redacted] 2021 Region/Office: 05/01

Grant: [Redacted]

Banking Information

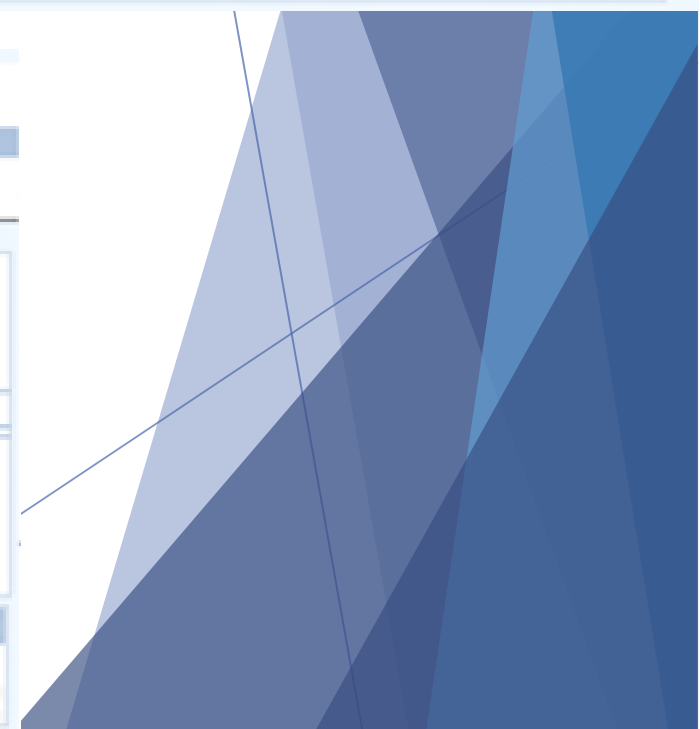
Recipient Name: [Redacted]

ABA No.: [Redacted]

Acct No.: [Redacted]

Payee Id.: [Redacted]

Line Item	Name	Amount
1060	Administrative	39.75
1100	Leasing	8,955.00



The answer is: YES!

Difference between LOCCS and APR explained:

\$-19770.52

+\$10,775.77 (voucher: XXX-XXXX2711 - est. 04/02/21)

+\$8,994.75 (voucher: XXX-XXXX2452 - est. 04/01/21)

If there is no reasonable explanation for the difference, the grantee may have an input error that needs to be corrected.

Uh oh... What if the APR is due before the deposit date in LOCCS?

Core Award Dates	
LOCCS Created:	02-13-2019
POP Start:	01-01-2020
POP End:	12-31-2020
Final Report(s) Due:	03-31-2021

Est Deposit Date
04-02-2021
04-01-2021

- ✓ Submit your APR so the report is not late.
- ✓ Make sure you leave a comment in the Financial Section explaining the difference between LOCCS and the APR.
- ✓ The CPD Rep may reject your submission and require submission after the deposit goes through, however ... your report will not be considered late.

Other IMPORTANT Financial "Stuff and Things" to remember when submitting the APR ...

Grantees have 90 days following the period of performance end date to submit the APR. Likewise, grantees have 90 days to reconcile and submit any vouchers for activities performed during the period of performance.

TIP for New Folks: You will hear the terms "period of performance" and "reconciliation period" a lot.

- The Period of Performance is the start date of the grant through the expiration date of the grant.
- The Reconciliation Period is the 90 days following the date of grant expiration.
- Please note: The Fort Worth Accounting Office closes sometime around September 24 for yearly reconciliation and does not reopen until early October.

What happens if there are unspent funds?



- ▶ After the APR is submitted, HUD staff returns to LOCCS and checks the grant to determine if there is an **outstanding balance**.
- ▶ At this point in the grant cycle, 90 days have passed since the end of the Period of Performance (expiration of the grant).
- ▶ Following the Reconciliation Period, unused funds are subject to de-obligation/recapture by HUD.

IMPORTANT to remember during the Reconciliation Period:
The grantee cannot charge for admin incurred outside of the period of performance.

Recapture / Deobligate

Recapture / Deobligate?

CANCEL

SAVE

De-obligate/ recapture of Unused Funds

At this point, HUD can determine that the LOCCS and APR amounts either match or can be accurately justified. Furthermore, HUD has determined that match has been accurately reported and is acceptable.

Before we leave Financials ...

Three Quick but
important topics to talk
about:

- Match
- Repayment of Funds
- Program Income

Let's have a conversation about Match?

▶ All grant funds must be matched with an amount no less than 25 percent of the awarded grant amount (excluding the amount awarded to the leasing budget line item) with cash or in-kind resources. The only exception to that rule is leasing.

▶ Match is actual cash or in-kind resources.

▶ Match resources may be from public (not statutorily prohibited by the funding agency from being used as a match) or private resources.

▶ According to **§ 578.73**, in CoCs where there is more than one recipient, the recipient must provide match on a grant-by-grant basis.

EXAMPLE A

Total amount requested from HUD (without leasing)

- Rental Assistance funding = \$95,000
- Project Administration funding = \$5,000
- Total amount requested = \$100,000

Total amount requested from HUD x .25 = Minimum Match Requirement

- $\$100,000 \times .25 = \$25,000$

EXAMPLE B

Total amount requested from HUD (with leasing)

- Leasing funding = \$40,000
- Supportive Services funding = \$55,000
- Project Administration funding = \$5,000
- Total amount requested = \$100,000

Total amount requested from HUD, excluding amount requested for leasing

- $\$100,000$ (Total Amount Requested) - $\$40,000$ (Leasing Funding) = $\$60,000$

Total amount requested from HUD x .25 = Minimum Match Requirement

- $\$60,000 \times .25 = \$15,000$

How does Match factor into the APR?

- ▶ CoC recipients report the match committed to the grant during the operating year. Currently, match is cash or in-kind resources contributed to the grant and expended on eligible costs.
- ▶ For specific match requirements review the NOFA for the year the project applied for funding. The recipient must record all cash and in-kind match expended on this project, including if the recipient expended more match than was required.
- ▶ Sage will automatically calculate the percentage of match. It will calculate the total match divided by the total expenditures (minus any funds expended on leasing costs, which do not require a match).

Match			
Cash match			\$5,651.93
In-kind match			\$0
Total match			\$5,651.93
Total expenditures requiring a match			\$17,076.09
Percentage match			33.10%
Total budget			\$98,239.02

Repayment of Funds

Repayment of funds requires coordination with the CPD Rep and the CPD Financial Analyst.

Funds may be sent to HUD either by wire transfer or by check



Program Income:

In accordance with 24 CFR 578.97:

- ▶ Program income is defined as the income received by the Grantee or subrecipient directly generated by a grant-supported activity.
- ▶ Program income earned during the grant term shall be retained by the Grantee and added to funds committed to the project by HUD and the Grantee, used for eligible activities in accordance with the requirements of this part.
- ▶ Costs incident to the generation of program income may be deducted from gross income to calculate program income, provided that the costs have not been charged to grant funds.

Program Income is rare in CoC Grants and to consult with your CPD Rep in the case of PI reporting in the APR.





▶ Field Office Review

Grantee APR Review Form

► <https://files.hudexchange.info/resources/documents/sage-coc-apr-guidebook-for-coc-grant-funded-programs.pdf>



CoC APR Guidebook

For APRs submitted in *Sage*

Version 6

October 2021

Sage HMIS REPORTING
REPOSITORY



The contents of this document, except when based on statutory or regulatory authority or law, do not have the force and effect of law, and are not meant to bind the public in any way. This document is intended only to provide clarity to the public regarding existing requirements under the law or agency policies.

Grantee APR Review Form

Performance Accomplishments

Date	For submission dated
10/29/2021	8/1/2020 - 7/31/2021

Please describe any significant accomplishments achieved by your program during the operating year:

▶ Performance Accomplishments

▶ Additional Comments
(Optional but Strongly Encouraged)

Additional Comments

Date	For submission dated
1/13/2022	8/1/2020 - 7/31/2021

Please provide any additional comments on other areas of the APR that need explanations, such as a difference in anticipated and actual program outputs or bed utilization:

Grantee APR Review Form Cont.

Sage HMIS REPORTING REPOSITORY

HUD Annual Performance Report FY2022 - CSV upload only

Grant: [REDACTED]

Q04a: Project Identifiers in HMIS

Organization Name	Organization ID	Project Name	Project ID	HMIS Project Type	Method for Tracking ES	Affiliated with a residential project	Project IDs of affiliations	CoC Number	Geocode	Victim Service Provider	HMIS Software Name	Report Start Date	Report End Date	CSV Exception?	Uploaded via emailed hyperlink?
-------------------	-----------------	--------------	------------	-------------------	------------------------	---------------------------------------	-----------------------------	------------	---------	-------------------------	--------------------	-------------------	-----------------	----------------	---------------------------------

- ▶ CSV APR Upload
 - ▶ Begins with Q4
 - ▶ SAGE will not accept manual data entries
 - ▶ Expected to be generated by HMIS or comparable database

An APR can receive the following decisions:

- 1. **Accepted** - the APR review is complete and the CPD Rep has accepted the information and has no further comments to provide to the Grantee.
- 2. **Accepted with Comments** - the APR review is complete and the CPD Rep has accepted the information but has comments to share with the Grantee.
 - Examples of Comments:
 - The APR was submitted 2 months late. APRs are due within 90 days of the end of the operating year. Late submissions may be considered as part of a capacity review.
 - The APR was rejected three times before the Grantee was able to correctly document expenditures and match. The financial information presented in the APR should be reviewed by the Grantees' financial staff prior to submission to HUD and should reflect the actual HUD expenditures and LOCCS draws along with all required match.
- 3. **Not Accepted Must Resubmit** - the submitted APR was incomplete or incorrect. The CPD Rep needs more information on a particular issue identified from their review. The Grantee will need to resubmit the APR submission with the requested information.

How to Avoid Resubmissions

The background features a series of overlapping, semi-transparent blue geometric shapes, primarily triangles and polygons, that create a dynamic, layered effect. The colors range from light sky blue to deep navy blue. The shapes are positioned on the right side of the frame, extending towards the center, while the left side is mostly white.

➤ Pay attention to the comments written by the CPD Rep.

- Make sure you review all the comments your Rep provided in the rejection.

Date	Status	Done By	Notes
2/3/2022	Accepted		Comments: Thank you for your revision. Edits and explanations were deemed acceptable by HUD
2/2/2022	Awaiting Director Review		Comments: Thank you for your revision. Edits and explanations were deemed acceptable by HUD
2/2/2022	Submitted		
11/2/2021	Rejected		Persons Served or Inventory Issue: For the months of January, April, and July, households/persons served are under the 80% utilization goal. Please explain why the numbers are low. Eligibility issue: Please provide an explanation as to why clients with no data are deemed eligible for the program.
10/29/2021	Submitted		
10/29/2021	In Progress		
7/31/2021	Not Started		

Rejected Persons Served or Inventory Issue: For the months of January, April, and July, households/persons served are under the 80% utilization goal. Please explain why the numbers are low.
Eligibility issue: Please provide an explanation as to why clients with no data are deemed eligible for the program.

Financial Information	10/29/2021	Completed	VIEW (you can't edit)
Performance Accomplishments	10/29/2021	Completed	VIEW (you can't edit)
Additional Comments	1/13/2022	Completed	VIEW (you can't edit)
CSV APR Upload	1/18/2022	Inspiration Corporation - Rapid Re-Housing	VIEW / PRINT (you can't edit)
VIEW ONLY - Bed & Unit Report	1/18/2022	Ready to view	VIEW (you can't edit)
Sign and Submit	2/3/2022	Accepted	VIEW / PRINT COMPLETE APR

Notes from latest status:
Comments: Thank you for your revision. Edits and explanations were deemed acceptable by HUD

➤ Make necessary edits and provide explanations, as requested.

- Correct all the issues. If you resubmit an APR without addressing all comments and correction, it will be rejected again.

➤ Resubmit the APR once **ALL** corrections and comments are made.

- If you are unsure of an issue or request, reach out to your Rep. Your Rep will further explain and if needed schedule a call to answer any questions or do a screen share with you.

- Some Reps will follow up with you via email with some screenshot of the issues and specific request or information needed to approve. Please read thoroughly and make sure each section in the email is addressed in your resubmission.

Hello,
Your APR was rejected. I am including screenshots of the issues that need to be resolved and a short explanation for each screen.

1.



Proposed to Actual inventory: your organization proposed 17 units and 40 beds. The actual availability of units went down, but your bed count remains the same. We need an explanation as to what happened.
Utilization rate: You have 40 available beds, but only served 28 clients in the last two quarters. We need an explanation as to why.

2..



Financial issues. Your LOCCS Drawn and your APR columns do not match. These two need to be the same. Your organization needs to review their financials and make sure they are matching LOCCS. In this case, you have on your APR columns \$488,570 coming out from Supportive Services, when in LOCCS, you only draw \$318,370 for Supportive Services and the other \$170,200 from Operating. These numbers need to be revised and the APR needs to be resubmitted with the correct information.

3.

Program Eligibility	Total	Without Children	With Children and Adults	With Only Children	Unknown Household Size
Emergency Shelter	10	0	0	0	0
Transitional Housing	0	0	0	0	0
Place not Meant for Human Habitation	0	0	0	0	0
Respite Care	0	0	0	0	0
Respite Housing	0	0	0	0	0
Residential Settings	1	0	1	0	0
Other Locations	46	0	0	0	0
Total	57	0	1	0	0

Finally, clients coming from "Other Locations" are usually not eligible. Your organization is reporting 46 clients coming from Other Locations. You need to explain why these clients were deemed eligible. This is particularly important if your organization is monitored in the future.

I hope this helps. Let me know if you have any additional questions.

- Some Reps will send email a few days or weeks before the submission deadline as a reminder of eligibility issues and financial issues. See example below.

Good afternoon Grantee,

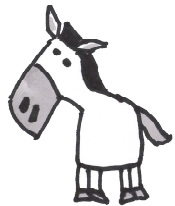
This email serves as a friendly notification that the APR for grant _____(number) is **due on 00/00/2022**. Please let me know if the agency plans to make a timely submission. If not, please provide an explanation.

Please note:

- For the Proposed to Actual Inventory section, HUD is asking how many units/beds were available, regardless of if they were occupied. So, we should see the same numbers as proposed in the application. Unless the agency did not have units/beds available. If this is the case, we need an explanation for why those units were not made available.
- For Bed Utilization Rates and Unit Utilization Rates, they must meet the National Benchmark for TH – 80% and PSH – 85%. If the rates do not meet the national benchmark, the agency must provide a reasonable explanation.
- For the Program Eligibility section, Clients cannot be coming from “Other Locations.” Only DV victims or clients **coming before 2012 when HEARTH was implemented** may be eligible for assistance. If clients are coming from “Other Locations,” please provide an explanation for each client and how they met program eligibility requirements.
- For the Financial section, the difference between the APR and LOCCS column should be \$0. The LOCCS drawn column shows the amount the agency expended while the APR column represents the agency’s internal financial records.

Please feel free to reach out if you have any questions.

However, it is your responsibility to submit a complete and correct APR.



Incomplete Zebra

Incomplete APRs will be rejected again!

Don't be an Incomplete Zebra 😊

The background features a dark blue gradient with abstract, overlapping geometric shapes in various shades of blue on the left side, creating a modern, layered effect.

▶ A Quick Recap

What HUD looks for:

An APR Submission needs to meeting the following requirements:

- ▶ Timeliness
 - ▶ Timely Submission
- ▶ Bed/Unit Utilization Rate
 - ▶ National Benchmark:
 - ▶ TH – 80%,
 - ▶ PH (PSH RRH) – 85%
- ▶ Program Eligibility
 - ▶ Clients are eligible to receive assistance under HUD's definition of homelessness
- ▶ Financial
 - ▶ 25% match requirement met
 - ▶ LOCCS and APR column match

HOW TO REDUCE APR REJECTIONS

- ▶ Include comments on your initial submission!! The APR is a reporting tool, so use the comment fields!
- ▶ The only way to correct the report is to change the information the recipient entered in the Bed and Unit Inventory and Utilization or the CSV upload.
- ▶ APRs is a reporting tool only, whereas Monitoring is a compliance tool. If you have questions about client eligibility, work with your CPD Rep outside of Sage to discuss so you can ensure you are in compliance with client eligibility.
- ▶ HUD strongly suggests that the grantee check the original grant application to see what budget line items were funded. The APR should match the grant application.

eLOCCS Access

Approving Official Recertification

New User Application

Quarterly Draws

Recertifying of Users by Approving Officials

- ▶ Approving Officials (AO) need to recertify users as soon as the notification from eLOCCS arrives.
- ▶ The user and the AO need to ensure they **access the system on a quarterly basis** to maintain their access.
- ▶ Both users and AO need to sign onto eLOCCS every three months to ensure their access is maintained.
- ▶ Per [24 CFR §578.85](#) Timeliness Standards (c) *Distribution* (3) Draw down funds at least once per quarter of the program year, after eligible activities commence.
- ▶ If you lose access, please contact your CPD Representative.
- ▶ DO NOT contact LOCCS security directly. Doing so will cause delays in processing that may take time to correct.

Application Process of New Users/Coordinators

- ▶ FIRST Reach out to our HUD Rep for guidance.
- ▶ **Please do not contact/email LOCCS security directly.**
- ▶ Field Office can send you a sample HUD Form 27054e form to guide you.
- ▶ When filling out the HUD Form 27054e form, please note the following:
 - ▶ All users needs an M number
 - ▶ If the user does not have one, please call Reac @ 888 245 4860 Option 1.
 - ▶ Once the Financial Analyst approves the form, the form can be notarized.
 - ▶ Please make sure that both the User and Approving Official are notarized, and the dates are the same.
- ▶ The amount of time it takes to establish access for new users or to recertify access for current users and/or AOs depends on the accurate and timely submission of the required forms being sent to your CPD Rep via email. In other words, access approval is contingent upon timely responses from grantees.



▶ RESOURCES

Continuum of Care

- [Continuum of Care Program Regulations](#)

SAGE

- [SAGE User Manual](#)
- [How to create an account in SAGE](#)
- [CoC APR Guidebook](#)
- [APR Guides, Tools, and Webinars](#)
- [Sage HMIS Reporting Repository](#)
- [HMIS Data Standards](#)
 - [HMIS Data Standard Tool](#)
 - [HMIS Data Dictionary](#)
 - [HMIS Data Standards Manual](#)

Financial Resources for Match

- [CoC Match Overview](#)
- [Match Requirements](#)
- [Cash Match](#)
- [In-Kind Match](#)
- [Ineligible Sources](#)

Eligibility Resources

- [Categories of the Homeless Definition](#)
- [NOFA](#) (Review a NOFA to confirm eligibility, just google CoC NOFA (year)).

Troubleshooting

- [AAQ](#) (Submit a Question in HUD Exchange)

What is the most important
takeaway from this
presentation?

Communicate with your CPD Rep
throughout the period of
performance and the
reconciliation period.

Problems can be avoided if the
communication lines stay open.



Q&A

- Contact your CPD Rep
- Eunice Cho,
Eunice.Cho@hud.gov
- Cynthia Blatt,
Cynthia.J.Blatt@hud.gov

THANK YOU!

- This PowerPoint presentation and a resource list of all links discussed will be emailed to you.
- You will also be emailed a survey. We covered a lot of topics today and we want to learn from you what future trainings you would like to see from HUD staff.

