Flexible Resources, Data-Driven Solutions: Using HMIS and HEARTH to End Homelessness

HMIS Grant and Project Administration
Presenters

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Learning Objectives

• Provide CoCs with an overview of various HMIS grant and project administration topics, including:
  – Funding
  – Grant Management
  – Budgeting
  – Governance
SHP Funding for HMIS
SHP Funding for HMIS: Background

- HMIS Grant Managers should be familiar with how to use SHP funding for HMIS
- HMIS has been an eligible activity under SHP since 2002
### SHP Funding for HMIS: Eligible Uses

<table>
<thead>
<tr>
<th><strong>Equipment</strong></th>
<th><strong>Personnel</strong></th>
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</thead>
<tbody>
<tr>
<td>Central server(s)</td>
<td>Project management / Coordination</td>
</tr>
<tr>
<td>Personal computers and printers</td>
<td>Data Analysis</td>
</tr>
<tr>
<td>Networking</td>
<td>Programming</td>
</tr>
<tr>
<td>Security</td>
<td>Technical Assistance and Training</td>
</tr>
<tr>
<td><strong>Software</strong></td>
<td>Administrative Support Staff</td>
</tr>
<tr>
<td>Software / User Licensing</td>
<td>Note: Technical Assistance and Training funds may be used for travel, hotel, and per diem costs for HUD-approved HMIS training sessions</td>
</tr>
<tr>
<td>Software Installation</td>
<td></td>
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<tr>
<td>Support and maintenance</td>
<td></td>
</tr>
<tr>
<td>Supporting Software Tool</td>
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</table>

Note: Technical Assistance and Training funds may be used for travel, hotel, and per diem costs for HUD-approved HMIS training sessions.
## SHP Funding for HMIS: Eligible Uses

<table>
<thead>
<tr>
<th>Services</th>
<th>HMIS Space &amp; Operations</th>
</tr>
</thead>
<tbody>
<tr>
<td>Training by Third Parties</td>
<td>Space costs</td>
</tr>
<tr>
<td>Hosting / Technical Services</td>
<td>Operational costs</td>
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<tr>
<td>Programming: Customization</td>
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<tr>
<td>Programming: System Interface</td>
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<tr>
<td>Programming: Data Conversion</td>
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<tr>
<td>Security assessment and setup</td>
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<td>On-line Connectivity (Internet Access)</td>
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<tr>
<td>Facilitation</td>
<td></td>
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<tr>
<td>Disaster and Recovery</td>
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</table>
SHP Funding for HMIS: Ineligible Uses

- HMIS planning
- New software development
- Replacing State or local government funds for an existing HMIS
SHP Funding for HMIS: Practice Tips

- Cannot pay for planning to replace software
- May pay for replacement software or licenses and possibly data migration if HUD-approved
- Cannot pay to make “non-HMIS compliant” software compliant
SHP Funding Approaches

• Three ways to use SHP funds:
  – Dedicated HMIS grant
  – Shared-cost HMIS with other SHP grants
  – Use SHP admin funds for HMIS

• *Practice tip*: Various CoCs are now using a combination of the above
Funding Approach: Dedicated HMIS Grant

- HMIS is its own grant type within SHP
- 1, 2, or 3 year initial grant term
- 20% cash match ($4 SHP/$1 match)
- Must compete against non-HMIS projects in local CoC NOFA application process
Funding Approach: Dedicated HMIS Grant

- CoCs in Hold Harmless Need (HHN) status can reallocate funds from renewals to a new HMIS grant.
- If needed, a CoC can have more than one dedicated HMIS grant - the original grant and expansion grant(s).
- Only one organization can be the applicant for dedicated HMIS grants within the CoC.
Funding Approach: Shared Cost HMIS

• SHP rules allow an HMIS component within the overall budget for other SHP project types

• HMIS costs can be shared across SHP grants

• This requires buy-in from SHP providers who will have to shift funds to HMIS from other budget line items

• 20% cash match
Funding Approach: Shared Cost HMIS

- No competition against non-HMIS projects in local CoC application process!

- *Practice tip:* Can shift up to 10% of funds to HMIS from another budget line item without written HUD approval and grant amendment, however, the HUD Field Office should be notified via email.
Funding Approach: Shared SHP Admin

• A number of CoCs have used a portion of SHP administrative funds across projects to help support the HMIS

• This requires buy-in from participating SHP grantees

• The HMIS costs covered must be in line with eligible uses of SHP administrative funds – e.g., costs for data collection and reporting, such as APRs
Funding Approach: Shared SHP Admin

• *Practice tips:*

  – It’s a good idea to get HUD Field Office approval of the proposed HMIS use of SHP administrative funds
  
  – Administrative funding can fluctuate and be uncertain depending on SHP competitive success
Summary of 2009 Dedicated HMIS Grants

• Total Grants Awarded

HMIS grants = 6% of all SHP grants
Summary of 2009 Dedicated HMIS Grants

• Total Dollars Awarded

<table>
<thead>
<tr>
<th>Dollars in thousands</th>
<th>HMIS Dedicated Grant</th>
<th>Overall SHP Grants</th>
</tr>
</thead>
<tbody>
<tr>
<td>$1,400</td>
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</tr>
<tr>
<td>$1,200</td>
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</tr>
<tr>
<td>$1,000</td>
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<tr>
<td>$800</td>
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<tr>
<td>$600</td>
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<td>$400</td>
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<tr>
<td>$200</td>
<td></td>
<td></td>
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<tr>
<td>$0</td>
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</tbody>
</table>

$35.40 mill. HMIS Grants
$1.147 bill. SHP Grants

HMIS dollars = 3.1% of all SHP dollars awarded
Layering of Funds
Layering of Funds: Introduction

• As HMIS projects have become more complex, some project managers have begun layering CoC funds in new and creative ways
Layering of Funds: Introduction

• Three possible layering models:
  – Single CoC: Dedicated HMIS grant + HMIS costs shared across other SHP grants
  – Multi-CoC: Multiple dedicated HMIS grants
  – Multi-CoC/Statewide: Multiple dedicated HMIS grants plus HMIS costs shared across other SHP grants

• Practice tip: When layering, it is important to keep in mind what each grant is paying for (e.g., central or local operational costs)
Layering of Funds: Michigan & New Jersey

**New Jersey Statewide:**
20 CoCs
- 17 CoCs with dedicated HMIS grants + cash match
- 3 CoCs without dedicated HMIS grants, local government share + $500 per agency fee
- 20 HPRP grantees cost share

**Michigan Statewide:**
~60 CoCs
Central costs:
- 1 state dedicated HMIS grant
- MSHDA cash match
- State ESG & HPRP funds
Local CoC Costs:
- ~20 dedicated HMIS grants + cash match
- Local ESG & HPRP funds
Leveraging Other Resources
Leveraging: Introduction

• Identifying and tapping into non-SHP funding is an increasingly important project management activity:
  – To meet cash match requirements
  – To meet increasing costs
  – To replace lost funds (e.g., HPRP)
  – To fill key budget holes
  – To diversify sources and sustain the project!
Leveraging: Introduction

- **Practice tip**: The non-SHP funding sources chosen must fit the need
  
  - Ongoing funding source for recurring costs
  
  - Non-SHP source if SHP cash match is needed
Leveraging: Basic Categories

- Other HUD
- Federal
- State and local
- Private foundations and corporations
- Cost sharing among agencies
- Fee for service / participation fees
Leveraging: Basic Categories

- **Practice tip**: Small HMISs are expensive! Consider saving money through economies of scale by joining a larger, neighboring, or statewide HMIS.

If you want to pursue joining with another CoC’s HMIS, implementation, technical assistance is available from HUD.
Leveraging: Other HUD Funds

• ESG (Emergency Shelter Grant under HEARTH)
  – ESG funds can be used to cover HMIS costs

• HOPWA
  – HOPWA projects targeting homeless must participate in HMIS, and HOPWA funds can be used for HMIS
  – The State of Georgia allows HOPWA grantees to use HOPWA case management funds for software and other HMIS costs
Leveraging: Other HUD Funds

- **CDBG**
  - Can be used for HMIS planning, match, and one-time needs

- **HPRP practice tips:**
  - It is not too late to shift more HPRP funds to HMIS
  - It is not too early to start planning for the end of HPRP funds
Leveraging: Other Non-HUD Funds

• PATH
  – HMIS and PATH outreach data collection now aligned
  – Various PATH providers use HMIS
  – Vermont uses PATH for HMIS SHP cash match

• VA Homeless Programs (Grants & Per Diem and VASH services are potential sources)

• HHS Runaway and Homeless Youth Program (can be used if HMIS is used for RHYMIS collection/reporting)
Leveraging: Other Non-HUD Funds

- **CSBG (Community Service Block Grant)**
  - Can be used if HMIS is used for CAA/CAP ROMA data collection/reporting
  - Solano CAP (in CA) uses CSBG as cash match for a CoC HMIS grant

- **SSBG (Social Services Block Grant)**
  - Was used by Arizona to plan HMIS

- **TANF ECF (Emergency Contingency Fund)**
  - Can be used for HMIS when ECF is integrated with HPRP
Leveraging: Cost-Sharing

- Participating agencies pay a fee based on a formula
- Eligible source of cash match if participating agencies do not use SHP funds to pay fees
- Formula approaches:
  - Fixed fee per agency? Per program? Per user?
  - Sliding scale based on agency budget or other factors
  - Agency pays its own costs (e.g. for software licenses)

### Cincinnati/Hamilton County 2010 Sliding Scale Example

<table>
<thead>
<tr>
<th>Agency Budget</th>
<th>Annual Fee</th>
</tr>
</thead>
<tbody>
<tr>
<td>$250,000 or less:</td>
<td>$475</td>
</tr>
<tr>
<td>$250,000 – $1 million:</td>
<td>$1,900</td>
</tr>
<tr>
<td>$1 million – $5 million:</td>
<td>$2,850</td>
</tr>
<tr>
<td>$5 million or more:</td>
<td>$4,750</td>
</tr>
<tr>
<td>Non-HUD-funded volunteer:</td>
<td>$475</td>
</tr>
</tbody>
</table>
Leveraging: Fee for Service

- Agency pays the HMIS lead a one-time or service fee
- Good for filling particular budget holes
- Examples:
  - HMIS setup fee for new agencies
  - Fee for customizing fields or screens for agency needs
  - Fee for developing or generating custom reports
  - One-time per agency or per user training fee
  - Contract for community report (e.g., PIT or Citywide homelessness report)
  - Hourly fee for data entry or data cleanup
  - Fee for legacy conversion or data integration
Grant Management
Grant Management: Introduction

- Managing the budget
- Monitoring
- APR
- System administration
- Compliance with HUD certification requirements
Grant Management: Managing the Budget

• Drawing down funds from HUD
  – Regular intervals
  – Amounts could vary
  – Checks and balances on access

• Invoicing other funding streams
  – Regular intervals
  – Amounts could be fixed

• Funds budgeted for certain activities may not be constant (ex: customization $)
Grant Management: Managing the Budget

• How do you account for your HMIS funds?

• Can you run an expenditure report?
  – By line item in Technical Submission budget
  – By category in SHP

• Do you need a budget modification?
  – How are they done?
  – What are the procedures?
Grant Management: Monitoring

• Monitor HMIS User Agencies for compliance with HMIS regulations
  – Develop a monitoring plan
  – “Wellness Checks” vs. “Security Audits”

• Monitoring by HUD
  – Documentation, Documentation, Documentation…
  – Have all files prepared and ready
  – Have HUD send monitoring checklist in advance
Grant Management: Other

- **APR**
  - Is the project progressing as proposed in the grant application? (i.e. Are you doing what you said you were going to do?)

- **System administration**
  - Assist CoC and grantees with APR and AHAR
  - Generating quality APR and AHAR data
  - Generating other data necessary for CoC

- **Compliance with HUD certifications**
HMIS Budgeting
HMIS Budgeting: Estimating Costs

- HMIS budgeting is about estimating costs and maximizing value across the HMIS cost categories:
  - Equipment
  - Software
  - Services
  - Personnel
  - HMIS space and operations
HMIS Budgeting: Mature HMIS

- Experience demonstrates that as HMIS systems mature, their budgets show:
  - Increased emphasis on staffing and reporting
  - Decreased emphasis on equipment and connectivity
  - Stability among core HMIS implementation costs (software and licensing)
As a mature implementation, more than 80% of New Jersey’s funds go to software and personnel:

- Equipment: 0.6%
- Software: 25.1%
- Services: 14.4%
- Personnel: 56.3%
- Space & Operations: 3.6%
Governance of the HMIS
Governance of the HMIS

- The CoC is responsible for the implementation and oversight of the HMIS. All key decisions for the HMIS must be made by the CoC.

- A formal written agreement between the CoC and the HMIS is recommend and encouraged

- An agreement is critical to define lines of authority and responsibility
Governance of the HMIS

- The CoC and HMIS administering/lead organization should clarify the roles, relationships, responsibilities, and rights of each of the HMIS stakeholders groups:
  - CoC Lead Decision-making Entity
  - HMIS Committee/Data Subcommittee
  - HMIS Grantee/Lead Organization
  - HMIS Software/Solution Provider or Host
  - Participating Agencies and HMIS Users
  - Clients
Governance of the HMIS

• CoC is responsible for:
  – HMIS planning and software selection
  – Selection of HMIS administering agency
  – Establishing HMIS policies/protocols
  – Accurate data reporting in CoC Application
  – Contributing data to the Annual Homeless Assessment Report

• Typical oversight of the HMIS is designated to a subcommittee or working group of the CoC
Governance of the HMIS

• Developing a governance agreement
  – Example: Santa Cruz (CA) CoC

• Roles and Responsibilities
  – CoC Lead
  – HMIS Lead
  – Contributory Organizations (HMIS and CoC)
Governance of the HMIS

- How strong is your HMIS governance?
  - Clear policies and procedures
  - Agency participation agreements
  - User agreements
- HMIS self-assessment
- HMIS governance assessment worksheet
Governance of the HMIS

- Increasing provider participation
  - Stay connected to those who are already participating
  - Identify HMIS champions; how does HMIS meet their needs?
  - Find an approach that resonates
    - Carrots?
    - Sticks?
Questions/Comments?
Resources

• HMIS 101 Presentation
  http://www.hmis.info/Resources/996/HMIS-101-Presentation.aspx

• HMIS Governance Assessment Worksheet

• HMIS Governance Models
Resources

• HMIS Self-Assessment Tool
  http://www hmis info/Resources/944/HMIS Self-Assessment Tool.aspx

• HMIS Budgeting and Staffing Toolkit
  (coming soon)

• www.HUDHRE.info

• www.HMIS.info
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