

Housing Opportunities for Persons With AIDS (HOPWA) Program

Data Update:

*Direction for HOPWA grantees on requirements
for collecting, reporting, and using HOPWA
data.*



August 2017

Section 1: HOPWA Data for Determining Unmet Need:

Determining the Unmet Housing Need of PLWHA

The Housing Opportunities for Persons With AIDS (HOPWA) Program requires grantees to assess the unmet HIV/AIDS housing needs in their local communities and report it to HUD.

HOPWA **formula grantees** provide HIV housing need information in the Needs Assessment section ([NA-45, page 129](#)) of the Consolidated Plan (Con Plan) in the eCon Planning Suite.

HOPWA **competitive grantees** provide local unmet HIV/AIDS housing needs in the approved competitive application based on published funding requirements.

Both **formula** and **competitive grantees** should consider their HIV housing need data during their routine planning processes. For formula grantees, this includes the process of determining goals in the Annual Action Plan (AAP). For new competitive grants, this step is in the application process when addressing rating factors in the narrative, and for new and renewal competitive grantees, when determining Activity-level goals through the HOPWA budget form, HUD-40110-B.

In addition to looking at HIV housing needs at the local level, HUD has also developed a new **National Eligibility Estimate** to approximate the number of people eligible for, but not currently participating in, the HOPWA program, and demonstrate the ongoing and growing need for the overall HOPWA Program. HUD's Eligibility Estimate is reported as both a range and a single national number on the [year-end National HOPWA Performance Profile](#), and uses nationally calculated poverty rates and the CDC's HIV/AIDS surveillance data.

HOPWA grantees are no longer required to include unmet need data in their HOPWA CAPER/APR submissions. This information is, however, still important for local planning purposes and should still be included in the Con Plan and initial competitive applications as indicated above.

HOPWA DATA EXPECTATIONS:



HOPWA grantees are required to assess local HIV/AIDS housing needs for inclusion in the approved competitive application (competitive grantees) or the Consolidated Plan process (formula grantees).

All grantees should consider housing need data in ongoing local planning including, during the Annual Action Plan development (formula), and when working on the application and budget form (competitive).

All HOPWA grantees are no longer required to report unmet need data in their CAPER/APR submission.

GUIDING DOCUMENTS:



HOPWA formula grantees provide HIV housing need data in the [eCon Planning Suite section \(NA-45, pg. 129\)](#).

Competitive grantees provide unmet need data in initial applications based on specific funding requirements.

Section 2: eCon Planning Suite & IDIS Set-Up: Setting Priorities, Determining Resources, Setting Goals

In addition to assessing HIV/AIDS housing needs, all HOPWA grantees must set priorities, determine resources, and set programmatic goals. HOPWA **formula grantees** develop the Con Plan and AAP in the eCon Planning Suite, while HOPWA **competitive grantees** conduct these activities during the grant application submission.

In the AAP, HOPWA **formula grantees** should indicate their expected resources ([AP-15, page 214](#)), and planned HOPWA-eligible activities ([AP-70, page 237](#)), including the number of households they expect to serve. Additionally, formula grantees should pay close attention to the following sections of the eCon Planning Suite to ensure HOPWA-related information is included:

NA-45 – Non-Homeless Special Needs Assessment	AP-20 – Annual Goals and Objectives
MA-35 – Special Needs Facilities and Services	AP-35 – Projects
SP-25 – Priority Needs	AP-70 – HOPWA Goals
SP-30 – Influence of Market Conditions	AP-90 – Program Specific Requirements
SP-35 – Anticipated Resources	CR-05 – Goals and Outcomes
SP-40 – Institutional Delivery Structure	CR-55 – HOPWA
SP-45 – Goals	

During the AAP development process, formula grantees are expected to set up new HOPWA Projects ([AP-35, page 222](#)) in the Integrated Disbursement and Information System (IDIS) before the AAP is approved, however these Projects can be placeholders and modified later as Project sponsors are identified and contracts are finalized (see the [HOPWA IDIS Project set-up instructions, Page 29](#)).

After the Grant Agreement is executed and funds are available to the grantee, both HOPWA **formula** and **competitive grantees** are expected to set up and fund IDIS Activities in accordance with Grant Based Accounting (GBA) requirements (note this has always been the case for competitive grantees). Both **formula** and **competitive grantees** should fund the IDIS Activities with the full allocation/award when funds are made available in IDIS.

Committing the full amount should be done prior to drawing down funds from the allocation/award (or, for formula grantees, developing the next AAP).

HOPWA DATA EXPECTATIONS:



All HOPWA grantees are required to use IDIS and should set up a new set of Projects and Activities for each new HOPWA award / allocation. Formula grantees should create Projects during the AAP process but can modify them later as project sponsor information is identified. Each HOPWA award / allocation should be fully committed to the Projects and Activities following GBA.

GUIDING DOCUMENTS:



[Consolidated Plan in IDIS Desk Guide \(published April 2016\)](#)

[Setting up HOPWA Projects and Activities in IDIS](#)

Section 3: HOPWA Data for Administering the Program: *Tracking Beneficiaries Served and Services Provided*

For HOPWA grantees, there are three primary categories of data elements that must be tracked during program implementation:

HOUSEHOLDS SERVED – including demographics, HIV status, prior living situation, employment and income, access to care and housing stability outcomes.

SERVICES PROVIDED – including the type and quantity of HOPWA-eligible activities provided to HOPWA beneficiaries and the number of units developed and/or in operation.

FUNDS EXPENDED – including using a local accounting system to track specific sources and amounts of funding for each service.

The systems that track these data elements throughout the period of performance can vary and are not the same for all HOPWA grantees.

HMIS: Grantees that use homelessness or chronic homelessness in their program design as primary criteria for eligibility must use a Homeless Management Information System (HMIS) to track the services for their homeless clientele. Additionally, some competitive awards also require grantees to use HMIS, per the grant agreement. While these grantees are required to use HMIS, all grantees – regardless of target population – are strongly encouraged to participate in a local HMIS, or equivalent, to track beneficiary-level data and outcome data, which is useful for annual accomplishment reporting. These local data systems must maintain client confidentiality by using a closed system in which medical information and HIV status are only shared with providers that have a direct involvement in the client’s case management, treatment and care, in line with the signed release of information from the client. Some grantees that choose to use HMIS or other systems have also included HMIS as a requirement for their project sponsors and sub-recipients. HOPWA-specific HMIS guidance is available in the [HOPWA Program HMIS Manual](#).

HOPWA DATA REQUIREMENT:



HMIS reporting is required for HOPWA grantees focusing on homeless populations and for Competitive grantees with HMIS written into their grant agreements; others are strongly encouraged to use HMIS, or equivalent, to track beneficiary data, services provided, and funds expended at the client level. Client confidentiality must be maintained.

GUIDING DOCUMENTS:



[HOPWA Program HMIS Manual](#)

[HMIS Data Standards](#)

Section 4: HOPWA Data for Fund Disbursement:

Tracking On-going Fund Disbursement Data

For each HOPWA award/ allocation beginning with federal fiscal year 2015, grantees must create a separate set of IDIS Projects and Activities and fund them solely with that year's money. For **formula grantees**, these IDIS Projects should be created during the AAP process using [AP-35, page 222](#). **Competitive grantees** should follow the step-by-step instructions on IDIS set-up outlined in the direct communication from the HOPWA office or the HOPWA technical assistance (TA) providers.

Upon receipt of new HOPWA funding, all grantees should [set up](#) and [fund](#) the HOPWA IDIS Activities (committing the full allocation to this new set of Activities), prior to drawing the funds. During the program year, grantees create vouchers to draw funds against activities, to reimburse for services provided. At a minimum, grantees must reconcile their accounts with project sponsor reimbursement requests and make draws on a quarterly basis; however, it is recommended – as a sound financial management and oversight practice – that grantees reconcile their accounts on a monthly basis.

For HOPWA **competitive grantees**, IDIS Activity funding amounts should be consistent with the approved budget line items in the executed competitive grant agreement. Competitive grantees are already set up in IDIS in compliance with GBA but should use internal tracking systems to ensure draws are completed at least quarterly across the three-year grant period.

For HOPWA **formula grantees**, funds are allocated annually to cover HOPWA-eligible activities, but formula grantees have three years to spend each of these allocations from the date the grant is executed. Formula grantees should use internal tracking systems to ensure that GBA requirements are being followed, meaning that vouchers are drawn from the appropriate allocation, using the correct IDIS Project and Activity, and on a quarterly basis.

Example: The FY2017 allocation should only be drawn down through IDIS Activities associated with 2017 IDIS Projects.

HOPWA DATA EXPECTATIONS:



HOPWA grantees are expected to commit each allocation fully to the corresponding HOPWA IDIS Activities, prior to drawing funds. Draws should be made, at minimum, quarterly (although monthly is recommended) against each active grant and in compliance with GBA.

HOPWA formula grantees must use internal tracking systems to ensure that GBA requirements are being followed, and that vouchers are created for the appropriate 1) Allocation; 2) Project; and 3) Activity.

GUIDING DOCUMENTS:



HOPWA IDIS Activity [Set-up](#), [Funding](#) and [Draws](#).

[HOPWA GBA factsheet](#) explains how IDIS functions have been modified to implement the transition from first-in-first-out (FIFO) to Grant Based Accounting (GBA)

Section 5: HOPWA Data for Evaluating Performance:

Reporting Outputs, Outcomes and Expenditures

APR/CAPER Reporting: HOPWA formula and competitive grantees are required to collect and report on spending and accomplishments each program year. **Competitive grantees** are required to complete the paper-based HOPWA APR (Form HUD-40110-C), and **formula grantees** are required to complete the paper-based HOPWA CAPER (Form HUD-40110-D) within 90 days after the end of their program year. For **formula grantees**, program year reporting is not grant specific; meaning, all activities conducted and drawn against during the program year – across multiple allocations – are reported at the end of a formula grantee’s program year. Note that unmet need data is no longer required on these forms.

The APR/CAPER are submitted via email to the local field office, HUD headquarters at HOPWA@hud.gov, and the HOPWA Data Verification TA team at heather.rhoda@cloudburstgroup.com. The APR/CAPER data provides annual information on program accomplishments that support program evaluation and measurement across program beneficiary characteristics and outcomes, including maintaining housing stability, preventing homelessness, obtaining jobs, and improving access to care and support.

IDIS Reporting: With significant changes still underway on the accomplishment screens in IDIS, HOPWA grantees are no longer required to provide accomplishment data through the IDIS accomplishment screens. Grantees should, however, continue to use IDIS to set up Projects and Activities and draw down funds.

eCon Planning Suite Reporting: In addition to the HOPWA CAPER forms, HOPWA **formula grantees** should also report outcome data in the eCon Planning Suite e-CAPER, section [CR-55, page 282](#). This section identifies the number of households served with HOPWA funds in the four housing subsidy assistance categories listed.

Annual accomplishment data is used in many ways, including to assess program-wide outcomes, compare trends in grantee data over time, develop congressional budget justifications, respond to congressional inquiries, and generate the published [Performance Profiles](#). Every effort should be made to provide timely and accurate accomplishment data for the program year.

HOPWA DATA Expectations:



HOPWA grantees are required to submit the paper-based HOPWA APR/CAPER form to the Field Office Representative, to HOPWA@hud.gov and to the Data Verification TA team.

Additionally, formula grantees should complete the CR-55 HOPWA questions in the e-CAPER.

HOPWA grantees are **NO LONGER REQUIRED** to complete the IDIS accomplishment screens.

GUIDING DOCUMENTS:



HOPWA [CAPER](#) and [APR](#)

[National HOPWA Performance Profiles](#)

[eCon Planning Suite section \(CR-55, pg. 282\)](#)

Section 6: HOPWA Systems and Forms – Quick Guide:

FORMULA: eCon Planning Suite: Con Plan, AAP, and e-CAPER	COMPETITIVE: Approved HOPWA Competitive Application & Budget Summary (HUD-40110-B)
<ul style="list-style-type: none"> • Con Plan: Assess unmet need, set priorities, determine resources, and set programmatic goals. • AAP: Formula grantees should set-up new HOPWA IDIS Projects (<i>Note: these Projects can be generic and modified later if project sponsors still need to be identified</i>). • e-CAPER: Formula grantees should also report the number of households served with HOPWA funds in the four housing subsidy assistance categories listed in the e-CAPER, section CR-55. 	<ul style="list-style-type: none"> • Assess unmet need, set priorities, determine resources, and set programmatic goals (<i>Note: this information is provided in the original competitive application but not in the renewal</i>).
Integrated Disbursement and Information System (IDIS)	
<ul style="list-style-type: none"> • Set-up / modify HOPWA IDIS Projects. • Set-up and fund IDIS Activities in accordance with the grantee’s established budget line item amounts, following GBA requirements. • Create vouchers and draw funds – at least quarterly – against activities to reimburse for services provided. • <i>Note: Accomplishment data is not required in IDIS.</i> 	
Homeless Management Information System (HMIS)	
<ul style="list-style-type: none"> • HMIS is required for HOPWA programs using homelessness or chronic homelessness as primary eligibility criteria to track the services for their homeless clientele. • Some competitive awards also require the use of HMIS, per their grant agreement. • Other HOPWA grantees – regardless of target population – are strongly encouraged to participate in a local HMIS or equivalent. • The HMIS should be a closed system to maintain client confidentiality. • Grantees and project sponsors that <i>do not</i> use HMIS should use a local tracking system to ensure data collected on beneficiaries served, HOPWA services provided, and funds expended. 	
FORMULA: HOPWA Consolidated Annual Performance and Evaluation Report (CAPER) Form HUD-40110-D	COMPETITIVE: HOPWA Annual Progress Report (APR) Form HUD-40110-C
<ul style="list-style-type: none"> • Report on spending and accomplishments for the program year within 90 days after the end of the program year. • Send report to the Field Office, hopwa@hud.gov, and the Data Verification team, heather.rhoda@cloudburstgroup.com. • <i>Note: Unmet need data is no longer required here.</i> 	<ul style="list-style-type: none"> • Report on spending and accomplishments for the program year within 90 days after the end of the program year. • Send report to the Field Office, hopwa@hud.gov, and the Data Verification team. • <i>Note: Unmet need data is no longer required here.</i>

Acronyms Used in this Document:

AAP – Annual Action Plan in the eCon Planning Suite

APR - HOPWA Annual Progress Report for competitive grantees (Form HUD-40110-C)

CAPER - HOPWA Consolidated Annual Performance and Evaluation Report for formula grantees (Form HUD-40110-D)

CDC – Centers for Disease Control and Prevention

Con Plan – Consolidated Plan in the eCon Planning Suite

e-CAPER – Electronic Consolidated Annual Performance and Evaluation Report (through the eCon Planning Suite; this is different from the HOPWA CAPER)

eCon Planning Suite – Electronic Consolidated Plan, Annual Action Plan, and CAPER templates in IDIS

FIFO – First-In-First-Out accounting methodology

GBA – Grant Based Accounting methodology

HMIS – Homeless Management Information System

HUD – US Department of Housing and Urban Development

IDIS – Integrated Disbursement and Information System

TA – Technical Assistance