U.S. Department of Housing and Urban Development
Office of Community Planning and Development

2002 Technical Submission Guidance For Homeless Management Information System (HMIS) <u>Dedicated Projects</u>

Supportive Housing Program

The Continuum of Care Homeless Assistance Notice of Funding Availability (NOFA), conditionally selected applicants will be requested to submit additional project information, which may include documentation to show the project is feasible; documentation of firm commitments for cash match; documentation showing site control; information necessary for HUD to perform an environmental review, where applicable; and such other documentation as specified by HUD in writing to the applicant, that confirms or clarifies information provided in the application.

If the conditionally selected applicant is unable to meet any conditions for funds awarded within the specified timeframe, HUD reserves the right not to award funds to the applicant.

Submission Process

The 2002 Supportive Housing Program (SHP) application process has two essential phases. First, eligible organizations submit applications for SHP projects in response to the Continuum of Care Homeless Assistance Notice of Funding Availability (NOFA). An applicant that is successful in the competition (called a "conditionally selected grantee" or "selectee") then completes a second phase by providing more detailed technical information not contained in the original application. This Technical Submission document contains all of the information HUD requires for the second (and final) phase prior to grant execution. All selectees, whether funded for a new SHP project, an expansion of an existing effort, or for a renewal project will complete this document.

There is a cover page and four Exhibits in this document as outlined below. Exhibit 1, Project Summary, should be completed by all selectees, including renewals, according to the specific instructions contained in each section. For all other Exhibits, selectees should only fill out the Exhibits which correspond to the activities in their 2002 application to HUD. In reviewing your submission, your local HUD Field Office may find activities that are ineligible or simply misclassified which would reduce your award or shift funding to another activity. HUD cannot, however, increase funding to a project because of the competitive nature of these awards.

A Technical Submission must be completed for each conditionally selected project. The selectee may have a project sponsor (the organization that will carry out the daily operation of the project) complete a Technical Submission for each project and submit it to the selectee when the project sponsor is not the same organization as the selectee. The selectee, however, is responsible for ensuring that the Field Office receives the Technical Submission by the deadline (see p.3). **Please submit a copy of the technical submission to Michael Roanhouse, SNAPs, Room 7256, CPD, 451 7th Street, SW, Washington, DC, 20451 at the same time you submit a copy to the Field Office.**

The following information must be submitted, as applicable:
Cover Page: Table of Contents and Certification.
Exhibit 1: Project Summary - Selectee and project sponsor information, project budget and milestones.
Exhibit 2: HMIS Dedicated Project- Types, quantities, resources, and costs of a HMIS and match.
Exhibit 3: Administration - Distribution plan for grant administrative funds.
Exhibit 4: Leveraging - Leveraging documentation.

Grant Agreements

HUD will enter into a grant agreement with the selectee once the Technical Submission is completed and approved. When a project sponsor is not the selectee organization, the project sponsor will be a sub recipient to the selectee. A selectee awarded funding for multiple projects will enter into a separate grant agreement for each project, thereby accommodating projects that are ready to begin operation at varying times.

Environmental Review

(1) No recipient is permitted to enter into a contract or otherwise commit HUD or local funds for acquisition, rehabilitation, lease (except scattered-site tenant based rental assistance), conversion, repair, or construction of the property to provide housing under the program prior to completion of the environmental review process and approval of either HUD 7015.15 or HUD-4128 by the HUD Field Office CPD Director.

(2) An important statutory change now requires that for recipients who are private nonprofit organizations or public housing authorities (PHA), the environmental review is to be performed by responsible entities (units of general local government in whose jurisdiction the activity is located or State) in accordance with 24 CFR Part 58 – "Environmental Review Procedures for Entities Assuming HUD Environmental Responsibilities" whether or not the grantee is itself a unit of local government or State. Previously, the review was required to be performed by HUD for PHA and nonprofit grantees in accordance with 24 CFR Part 50 – "Protection and Enhancement of Environmental Quality." If a responsible entity is either unwilling or unable to perform an environmental review for grantees who are public housing agencies or private nonprofit organizations (Section 58.11), or if HUD determines that the responsible entity should not perform the environmental review on the basis of performance, timing or compatibility of objectives, HUD may designate another responsible entity to conduct the review under Part 58 or may itself conduct the environmental review under Part 50."

Assembly

To help HUD expedite the review of your submission, please assemble it in the order as outlined under the Submission Process heading in these instructions. If an Exhibit is not applicable, please label it as such. Use tabs to mark each Exhibit and number all pages sequentially. Supporting documentation, such as cost estimates, may be referenced in the appropriate Exhibit and attached as an appendix.

Deadline and Questions

The deadline for the Technical Submission is no later than one month from the date of the letter from the selectee's HUD Field Office requesting the submission. Selectees may submit Exhibits as they complete them; however, the entire submission must be submitted by the deadline. The HUD Reform Act provisions that prohibited application-related contact during the application phase do not apply during this Technical Submission phase, so you may call your HUD Field Office if you have specific questions about this document.

Technical Submission Guidance	**Project Number**_____
	Cover Page

Recipient's Name:	HUD Project Number:

Check the HMIS project category that classifies your project:

☐ New System
☐ Replace an Existing System with a Different System
☐ Upgrade an Existing System to More Sophisticated System
☐ Expansion of an Existing System to More Providers

The funding of Homeless Management Information System (HMIS) became a new SHP supportive services activity in the 2001 competition. This format is used to provide second submission information for a <u>Dedicated HMIS project</u>. The <u>Shared HMIS</u> projects will be reviewed using the regular Technical Submission forms and process.

Table Of Contents
(Enter the page number for each Exhibit in the space provided below.)

Certification:

Name & Title of the Person who can answer questions about this document:	Phone (include area code):

Address:

I hereby certify that all the information stated herein is true and accurate.
Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties. (18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802)

Name & Title of Authorized Official:	Signature & Date:

Technical Submission Guidance **Project Number**_____

Exhibit 1: Project Summary

A. Selectee, Project Sponsor, and Lead Organization Information - Fill in the information requested below including the lead person and organization responsibility for implementing the HMIS grant. When the selectee is the same as the project sponsor or lead organization, complete only the selectee information.

Selectee Name		**Sponsor Name**	
Contact Person		Contact Person	
Phone		Phone	
FAX Number		FAX Number	
E-Mail Address		E-Mail Address	
Street Address		Street Address	
City, State, Zip		City, State, Zip	
HMIS Lead		Contact Person	
Street Address		Phone	
City, State, Zip		E-Mail Address	

B. Project Budget and Milestones - This section must be completed by all new selectees, including renewals that fund exclusively HMIS budget activities. Renewals with mixed HMIS and other supportive services activities should use the regular technical submission forms.

Chart 1 - Summary Project Budget

> To complete Chart 1, Summary Project Budget, enter the amount of SHP funds requested by line-item in the first column. In the second column, enter the amount of other cash that will be contributed to the project. This amount plus the SHP request must equal the total budget amount for the project.

Requested grant term (1, 2, or 3 years): _____

	SHP Request	Applicant Cash	Total Project Budget
1. HMIS Dedicated Project Costs*	**		
2. Administration (up to 5% of Line 1, SHP Request)			
3. Total SHP Request (total Lines 1 and 2)			

* SHP funds can be no more than 80 % of the Total Project Budget on Line 1.
** The amount must be equal to the SHP Request line (**) in the HMIS Budget Chart on page 8.

Chart 2 - Project Milestones

> To complete Chart 2, Project Milestones, establish the major milestones for implementation of your HMIS project and enter the number of days from the execution of the grant that each milestone will occur.

	Days from Execution of Grant Agreement
1.	
2.	
3.	
4.	
5.	
6.	
7.	
8.	

SHP funds may be used to pay for up to 80% of the total HMIS budget for each year of the grant term. This means that the selectee must make a cash payment for 20% of the project's HMIS budget annually. For Year 1 of your grant term, documentation of firm commitments of the cash resources must be submitted as an attachment to this Exhibit. The form and content requirements of these commitments are explained in Section B of this Exhibit. For Years 2 and 3, if applicable, a selectee needs only to certify that cash resources will be provided using the certification in Section C of this Exhibit. This certification must be completed and submitted as an attachment to this Exhibit**. Please note that, although selectees are not required to have the firm commitment for the cash resources for Year 2 and Year 3 at this time, the match requirement for Year 2 and Year 3 must be met by the end of each of those years**.

The 2001 HUD Appropriations Act added homeless management information systems as a new eligible activity. Section 423 (a)(7) of the McKinney–Vento Act provides that HUD may make a…. "A grant for the costs of implementing and operating management information systems for purposes of collecting unduplicated counts of homeless people and analyzing patterns of use of assistance funded under this Act." The Technical Submission breaks these costs into 5 major cost categories: Equipment, Software, Services, Personnel, and Space / Operations.

If a project sponsor's staff will perform an HMIS function, only the staff time directly related to the delivery of that HMIS function for the project is eligible for SHP funding. For example, the project sponsor, Harmony House, will use 25% of a staff for a HMIS task and the remainder of the staff's time will be spent conducting non-HMIS tasks. Using this example, only 25% of the staff's salary may be paid for with SHP HMIS funds. Likewise, where the HMIS system serves non-homeless clients and provides reporting on those clients, a proration of costs must be made.

Applicants may request up to 5% of each project award for administrative costs, such as accounting for the use of grant funds, preparing HUD reports, obtaining audits, and other costs associated with administering the grant (see Exhibit 3). This 5% is not to be confused with administrative costs of implementing an HMIS project. Place HMIS administrative support costs information in project narratives and budget chart.

A. HMIS Dedicated Project Narratives and Budget Chart

1. List of Continuum of Care Shelter Resources and Schedule for Participation
List by category all emergency and transitional shelters and McKinney-Vento-assisted permanent housing projects that were identified in the 2002 Exhibit 1 Continuum of Care Plan. Shelters not included in the Continuum of Care Plan may also be included. Indicate next to each shelter or site:
1.   Their beds/unit capacity.
2.   Schedule of participating in the HMIS. If shelter or site is currently participating list (C), or the planned date on entering the HMIS (P--1/02), or if it does not plan on entering the system (NP) and the reason.

2. HMIS Software
List the name/vender of the software program, system type (i.e., web-based, client/server, other), and types of activities that can be preformed. Potential types of activities include: Intake and Exit (IE); Assessment and Goals Setting (AS); Service Planning (SP); Tracking Supportive Services and Outcomes (TS); Information & Referral (IR); Outreach (OU).

3. HMIS Budget Narrative
Briefly describe each category of costs that apply to your project. Applicants may benefit from reviewing a HUD- funded Technical Assistance document entitled, Homeless Management Information Systems (HMIS) Cost Estimation Guidelines: Cost Framework and Submission Recommendations. The document can be viewed and down loaded from: **http://www.hud.gov/offices/cpd/homeless/hmis/index.cfm**

1.   *Central Servers*: The number, functionality, and location of servers.

2.   *Personal Computes and Printers*: The number of computers/printers and number of participating agencies receiving them.

3. *Networking*: The networking equipment and organizational arrangements involved.

4. *Security*: The location and security set-up for the central server.

5. *Software / User Licensing*: The nature of software licensing agreement (i.e., estimated number of users, user licensing, concurrent users, computers, client/server information).

6. *Software Installation*: Nature of installation costs.

7. *Support and Maintenance*: Nature and terms of vendor's commitment.

8. *Supporting Software Tools*: Name and function of software tool, number of licenses and primary users.

9. *Training by Third Parties*: Entity and nature of training.

10. *Hosting and Other Technical Services*: Name and location of the hosting entity, service plan and occupancy or other fees. The name of entity and types of other services or service plan.

11. *Programming*: The entity and objectives of customization projects.

12. *Programming*: The entity and objectives of system interface projects.

13. *Programming*: The entity and objectives of data conversion projects.

14. *Security Assessment and Setup*: The entity and nature of task.

15. *On-line connectivity (Internet Access)*: Types and number of connections.

16. *Facilitation*: The name of the facilitator and types of issues to be addressed in the implementation process.

17. *Disaster and Recovery*: Backup procedures. Plan to operate in the event of a major interruption in services at the primary server organization.

18. *Personnel*: Describe the personnel (in full-time equivalents) and their roles in the HMIS project. Include as needed: 1. Project management / coordination: 2. Data analysis: 3. Programming: 4. Technical assistance and training (include travel costs): 5. Administrative support staff (include service agency stipend/allowance to be paid to participating agencies to support system operations at each agency). Note: Administration of SHP grant (5%) information is to be included in Exhibit 3, not in HMIS administrative support staff.

19. *HMIS Space and Operations*: The location and nature of space costs. If space is owned describe how cost is calculated. Include types of reasonable operational costs including staff travel. Reasonable travel expenses related to an HMIS system are eligible. Continuing education for staff, fundraising activities, attendance at conferences, or out of state travel are ineligible.

HMIS Budget

Please complete the HMIS Budget Chart on the next page for your project's *total* HMIS budget. Include both SHP funds and Selectee's Match when completing HMIS Budget.

In the first column, fill in the HMIS expenses (Cost Item) that apply to your project. In the Year 1 column, enter the amount needed to pay for the HMIS in the first year. If the grant is multi-year, enter the funds needed for Year 2, and if applicable, Year 3. In the last column, total the amount of funds needed for the full grant term**. Please ensure that the Total SHP Request from the chart on the next page is equal to the amount entered in the project's Summary Budget in Exhibit 1 on page 5. (Identified by ** in both charts.)**

Please note that the selectee's match for the first year of the grant term must be documented as described in the introduction to this Exhibit on the previous page; for projects with grant terms exceeding one year, the certification at Section C of this Exhibit must be completed for Year 2 and Year 3 of the grant term.

2002 HMIS BUDGET

Cost Item	Year 1	Year 2	Year 3	Total
Equipment				
Central Server(s)				
Personal Computers and Printers				
Networking				
Security				
Subtotal				
Software				
Software / User Licensing				
Software Installation				
Support and Maintenance				
Supporting Software Tools				
Subtotal				
Services				
Training by Third Parties				
Hosting / Technical Services				
Programming: Customization				
Programming: System Interface				
Programming: Data Conversion				
Security Assessment and Setup				
On-line Connectivity (Internet Access)				
Facilitation				
Disaster and Recovery				
Subtotal				
Personnel				
Project Management / Coordination				
Data Analysis				
Programming				
Technical Assistance and Training				
Administrative Support Staff				
Subtotal				
HMIS Space and Operations				
Space Costs				
Operational Costs				
Subtotal				
Total HMIS Budget				
SHP Request				**
Selectee's Match				

B. Documentation of Match for Year 1

A selectee must currently have firm commitments for its cash resources for Year 1 and must submit documentation of those resources as an attachment to this Exhibit. These firm commitments must be documented on letterhead stationery, signed and dated by an authorized representative, and attached to this Exhibit. Each letter must, at a minimum, contain the following elements:

1. The name of the organization providing the cash resource;
2. The amount;
3. The type of activity for which the funds will be used (e.g., equipment, software, services, personnel, HMIS operations/space);
4. The name of the project sponsor organization to which the cash will be contributed and/or the name of the project; and
5. The date the funds will be available.

C. Certification of Match for Year 2 and Year 3, if applicable

The following certification must be completed for Year 2, and Year 3 if applicable, of your grant term to certify that non-SHP cash resources will be used to meet your HMIS match requirement in each of these years. The amount specified in this certification must match the amount shown in the HMIS BUDGET line "Selectee's Match" of this Exhibit. No other documentation regarding the HMIS match requirement for Year 2 and Year 3 of your grant term is required at this time. However, match commitment for Years 2 and 3 will be identified at time of submission of Annual Progress Reports for those years.

The _____ (selectee organization) certifies that it will provide cash resources in

the amount of \$_____ from non-SHP funding sources for Year(s)_____ of this grant term to

be used to provide services to homeless persons under HUD's grant number _____.

Signature of authorized representative _____

Name _____

Title _____

Date _____

The selectee should work in partnership with its project sponsor(s) (if a different organization than the selectee) in responding to Section A, and provide a narrative description of how this was done in Section B.

Up to 5% of each project award may be used for administrative costs. Eligible administrative costs include accounting for the use of the grant funds, preparing HUD reports, obtaining audits and similar administrative costs (see the SHP rule at Section 583.135).

For projects in which the project sponsor is not the same organization as the grantee, the project sponsor performs administrative functions necessary for the proper management of the grant. For example, though a grantee is responsible for ensuring the completion and submission of an Annual Progress Report to HUD, the project sponsor will, in many cases, complete the report itself. It is prudent, therefore, for the grantee to pass-through administrative funding to the project sponsor to cover the reporting costs.

As required by the Congressional committees' report accompanying the FY2000 HUD Appropriations Act, if SHP funds for administrative costs are awarded to a State or unit of local government where the projects will be operated by nonprofit organizations, some of these funds must be passed on to the nonprofit organization(s). These funds should be split with the nonprofit organization(s) in proportion to the administrative burden borne by them for the SHP project(s). HUD will consider States and units of general local government that pass on at least 50 percent of the administrative funds as having met this congressionally mandated requirement.

A. Administrative Costs

Please complete the chart below for your grant administrative costs budget. If you are a selectee who will also be the project sponsor, complete Lines 1 through 4. If you are the selectee and a different organization will be the project sponsor, complete lines 1 through 6.

In the first column, Administrative Costs, fill in the administrative activity to be paid for using SHP funds. In the Year 1 column, enter the amount of SHP funds to be used to pay administrative costs in the first year. If the grant is multi-year, enter the amount of SHP funds to be used for Year 2, and if applicable, Year 3. In the last column, (d), total the amount of SHP funds requested for the full grant term. **Please ensure that the total requested for administrative costs for the entire grant term, matches that which you entered in your project's Summary Budget in Exhibit 1.**

Administrative Costs	Year 1 (a)	Year 2 (b)	Year 3 (c)	Total (d)
1. Administrative Activity:				
2. Administrative Activity:				
3. Administrative Activity:				
4. **SHP REQUEST FOR ADMINISTRATIVE COSTS**				
5. **Amount for Selectee:**				
6. **Amount for Project Sponsor:**				

B. Plan for Distribution of Administration Funds

If the selectee **is not the same** organization as the project sponsor, attach a description of the selectee's plan for distributing its administrative funding to address all, or a portion of the project sponsor's administrative needs. Include a description of how the project sponsor was consulted in formulating the plan.

Technical
Submission
Guidance

Project Number_____

Exhibit 4: Leveraging

If this project was identified as a project that will leverage resources (outside of SHP) in the selectee's original application to HUD (Exhibit 1: Continuum of Care Narrative, Project Leveraging Chart), the selectee is required to submit documentation of the leveraged commitment(s) during the Technical Submission phase. If a project did not have a leveraging commitment on the chart, then the selectee does not have to provide leveraging documentation for that project.

HUD awarded up to three points as described in the NOFA for project leveraging for those projects indicated as having a written agreement in place at the time of application.

If this project was identified as a project that will leverage resources, please submit:

A copy of a written leveraging agreement in place at the time of application submission that indicates:

A) The type and value of the contribution;

B) The name of the project sponsor organization and;

C) The name of the project for which the resource will be contributed.

Acceptable documentation includes signed and dated letters, memorandums of agreement and similar document.