2022 Best Practices for Setting Up and Completing the CAPER Transcript

July 27, 2022

Rob Sronce: Welcome to today's webinar, "Best Practices for Setting Up and Completing the CAPER." Before we get under way with the presenters, I'll go ahead and review a few things.

Although the schedule shows this webinar to be 90 minutes, we expect it to take one hour and 15 minutes. If we do have a lot of questions, we have time for Q&A at the end. We may go a little longer to answer as many questions as we can.

Note that all participants are muted and in listen-only mode. Now and for the duration of the webinar, I will be taking questions through the Q&A module in Webex.

We do encourage you to close your email and other programs on your computer so you can pay close attention and also not compete for bandwidth.

If you need help with Webex or other technical issues, please message the Host through the Webex Chat. So, there is both a Chat and a Q&A panel. Use Chat if you have issues with the use of Webex and the Q&A will be to gather questions that we can answer at the end of the session.

The Q&A module may be hidden from view. You may need to go up to the top right-hand corner and you'll either need to click on the Q&A module that is shaded out or there's a drop-down that says "More options and controls". You'll be able to then reveal the Q&A window or module. Pod, I think it's called.

Please do submit questions as you have them. We'll answer as many as we can at the end of this presentation. If you do need to step away, we're recording this webinar and it will be available in one-to-two weeks.

Again, thank you for joining us. My name is Rob Sronce. I'm with the Cloudburst Group, today's Host for this webinar.

Our presenters today will be Joel Warren and Niki Deininger, also with the Cloudburst Group. Joining us today from HUD's Office of Block Grant Assistance are Gloria Coates and Erinn Martin.

During this webinar, we will help you to learn how to correctly set up a CAPER template in IDIS; understand where the data in the CAPER comes from and how to make any changes that will be reflected in your CAPER; see how the relationship between goals, projects, and activities impacts the CAPER; and how to meet the requirements for submitting the CAPER to HUD through IDIS.

Now I will pass it on to Niki, our first presenter.

Niki Deininger: All right, thanks, Rob. If you have issues hearing me, just let me know. Okay. So, we're going to start with a brief CAPER 101.

Grantees are required to complete and submit a CAPER, or, a Consolidated Annual Performance and Evaluation Report, each program year. The CAPER outlines and assesses a grantee's progress towards the goals outlined in their Strategic Plan and the Annual Action Plan.

States are required to prepare a Performance Evaluation and Report—which is also known as a PER. The requirements for the state PER are included in the CAPER template in IDIS. So, during this webinar, when we discuss the CAPER, we're also referring to the PER.

If you're reading through the federal regulations, the CAPER is referred to as the "performance report" and we've included the specific citation for the CAPER on the slide.

In each CAPER, grantees must include a description of the resources made available for projects, how those resources were spent, and the geographic distribution and location of those investments. The CAPER must also describe the families and persons assisted—including the racial and ethnic distribution of persons assisted—actions taken to affirmatively further fair housing, and other actions indicated in the Strategic plan and Annual Action Plan.

It's important to note that each grantee is responsible for creating and submitting their own CAPER. So, this is true even if you're a participating member of a HOME Consortium. As you may know, only the lead entity of a consortium creates and submits the Consolidated Plan and the Annual Action Plan templates in the eCon Planning Suite. This is not true for the CAPER. For the CAPER, every grantee must create and submit their own CAPER in IDIS.

The CAPER is due to HUD 90 days after the end of your program year. For example, if your program year ends on June 30th, then your CAPER would be due on September 28th.

Field Offices can grant extensions to the CAPER. So, if an extension is necessary, it's important to reach out and request one through your Field Office. Before submitting your CAPER in IDIS, grantees must make the report available for a public comment period of at least 15 days and each jurisdiction should consult its Citizen Participation Plan for specific public engagement requirements.

This slide includes the high-level timeline of the CAPER process. On the far left is your first step which is to submit any Annual Action Plan amendments to HUD in IDIS for review.

As we'll discus in more detail later on, it's important that the Action Plan for the specific program year is marked "Review Completed" in the system, so that you can correctly set up your CAPER.

Once your Field Office has finished reviewing your Annual Action Plan and marked it as "Review Completed" in IDIS, you'll then want to enter your program year activity accomplishments in the Activity section of IDIS.

As you may know, activity accomplishments are reported differently based on the particular grant program. For example, for CDBG, accomplishments will populate in the CAPER if they are reported for the specific program year. Whereas for HOME, accomplishments will populate in the CAPER template only if the activity is marked as "Completed" in IDIS.

At this point on the timeline, you should enter outcomes and complete activities in IDIS as appropriate given the grant program. You should also complete all financial draws for the program year in the system.

Once you've ensured that your Action Plan is marked "Review Completed," you've entered your outcomes for your activities as appropriate, and you've completed drawdowns for the program year, then you can go ahead and set up a CAPER template in the eCon Planning Suite.

It's crucial that you wait until you've completed these initial steps before generating the CAPER. This is because when you create the CAPER, the data that is automatically populated in the CAPER template represents a snapshot of the information in the system at the time you create that CAPER.

The system will pull data from the Action Plan into the CAPER template from the time the Action Plan was last marked "Review Completed." If you're in the process of an Action Plan amendment, for example, for your 2021 Action Plan, and that plan is in "Open – Amendment" status, and then you create your 2021 CAPER, the auto-populated data in the 2021 CAPER template is not going to include any of the newly added information from your 2021 Action Plan amendment. It's only going to include the information from when the 2021 Action Plan was last marked "Review Completed." In other words, the Action Plan "pre-amendment."

Since there's no way to refresh the auto-populated data in the CAPER template, this means that you'll need to manually update the information in your CAPER to accurately reflect your program year.

In order to avoid that, it's best to wait until your Action Plan is marked "Review Completed," you've entered your activity outcomes, and you've completed all financial drawdowns for the program year before you create that CAPER template.

There are certain reports you can run in IDIS to help review data from the program year and cross-check the auto-populated data in the CAPER template. There are also reports that must be submitted along with your CAPER such as PR-26 and PR-28 Financial Summary reports. Joel is going to go into more detail about those reports shortly.

After creating the CAPER in IDIS, you'll have your public comment period which, as I mentioned before, must be at least 15 days long. Once you have completed the comment period, you will finish your CAPER in IDIS, and submit to HUD for review.

Now I'll turn it over to Joel to walk us through the steps for setting up the CAPER.

Joel Warren: Thanks, Niki, for walking us through that. From here on out we'll dive into each of those pieces that Niki just described on the timeline.

Starting here, when you first make your CAPER template, the system—as Niki said—will associate it to the most recently approved Action Plan for that program year.

Just to reiterate, it's really important to finish any open amendments to the Action Plan before you get into this CAPER timeline. It means the corresponding Action Plan for that program year must be marked as "Review Completed."

You have three images here. If the Action Plan says, "Open Amendment," if it says, "Submit for Review," you're not ready yet to make that CAPER template.

If you are in that "Open – Amendment" status and you do attempt to create the CAPER, it'll just create the CAPER against that previously marked Action Plan when it was last “Review Completed,” like Niki said earlier.

That’s the case if there’s an open amendment. If it’s “Submitted for Review,” and if that’s your only Action Plan, the system shouldn’t let you make a CAPER at all.

Again, the point of this slide is just to really make sure you’re finished with your amendments and your Action Plan’s marked as “Review Completed” before you get into the CAPER process.

Since the amendment feature is still a little bit new, we’ll go through this slide pretty quickly.

If you are in that “Open – Amendment” status, and maybe you made the amendment by accident or you realized at the time that maybe you don’t need an amendment anymore, and this is stopping you from making your CAPER template, then you can go into that Action Plan, hit “Edit” for that Action Plan, and then you’d click this “Delete the Amendment” button.

This would revert the Action Plan back to that “Review Completed” status and this would then let you make the CAPER against that Action Plan. Another thing to note here at the very bottom, so this “Delete the Amendment” button is only true for Action Plans. If you’re in the Year One Action Plan that’s embedded within your Con Plan, you will not have this option. You’ll have to go through with the amendment process. Let’s say you’re amending your Con Plan. You did it by accident, or it’s a really small change. You’ll still have to go through with the amendment if it’s your Con Plan. Once it’s marked as “Review Completed,” then you can go ahead with your CAPER template.

Let’s say your amendments are done. You have all of your data in IDIS. You’re projects, activities, and goals are all aligned which we’ll get into a little bit later. Let’s assume you’re ready to make your CAPER template. This is deceptively easy, so don’t get here too quickly. Take your time. But you would just hit the “Add” button under the CAPER Menu on the left-hand side of IDIS. You’d input your program year, your title, your version ID. That’s it and you’d hit “Save.”

Important to note here, you cannot change your program year and you cannot change the version number. But you can change the title later on.

We’ll get into a few things to keep in mind again. It’s really important to reiterate this stuff before spending a few minutes on it.

You cannot change the Action Plan association once a CAPER template is created. Once you hit “Save” and the template is made, you see in the bottom right-hand side here of the slide? The association of the Action Plan to the CAPER? You cannot change this.

If it's an old version or it's the wrong version completely, you can't change this. Just make sure you have that latest version of your Action Plan marked as "Review Completed" and it'll automatically associate to it.

If you did do something wrong and you incorrectly made the CAPER template, no worries. You can always make a new CAPER template. You'll just have to make sure that you recognize that you'll always have two CAPER templates in the system because you cannot delete a CAPER template once it's created.

Make sure you name it a different version or something so your team knows that there's a CAPER template in the system that you shouldn't be spending any time on.

It doesn't tell you exactly where to find this association. If you go into the CR-00 Admin screen, you'll scroll down just a little bit and you'll see exactly what you see here in the bottom right. You would see that Action Plan year, the Action Plan title, and the version. That's the descriptor of which Action Plan your CAPER is associated with.

Now that you've walked through the template with me, let's go through a little bit of the new features and requirements you'll have to address this year in the CAPER.

This is not necessarily new, but it's still worth highlighting. You are required to report on all your CV accomplishments that occurred during the program year. You may have seen this at the CARES Act Conference, but this is a lot of webinar material in one slide.

There are two great places in your CAPER to highlight CV accomplishments. The first is that CR-05—that Goals and Accomplishments screen. You can discuss the actual accomplishment data for that program year. You'll talk about your successes. You'll talk about activities that were completed. They're in progress, but they have some outcomes associated with them. This is where you're reporting your data. CR-05 is for data—is a good way to think about it.

The second great place is that CR-45—that CDBG screen. Here is your best spot to talk about any obstacles you're still seeing from the pandemic, things that are impacting spending of your other formula funds, really anything that's happening to the CDBG-CV programs that you're seeing that are creating obstacles or justifying why your outcomes are not meeting expectations. That's the best place to talk about that.

ESG in the CAPER—there's a few new things here. These first couple of items are not changing but are still good to highlight.

You've been completing the CR-60 ESG screen in the CAPER forever. Keep doing that. But that's the subset of the information—CR-60. You're still doing that in the CAPER template.

The CR-65—you've been completing that in the Sage Report for quite a while. Again, keep doing that. Nothing's changing there.

The newest part here is the CR-70 and CR-75. This is the Assistance Provided Outcomes screen and then your Expenditures screen.

Starting in 2021, you'll be completing both of these screens in the Sage report and not in the CAPER template itself. So again, this is new. It's for 2021 CAPERs for ESG. You're completing CR-70 and CR-75 in the Sage report that will get attached to the Admin screen and you're not completing it in the CAPER template.

For those of you that may still be working under the 2020 CAPER, the CR-70 and CR-75 are to be completed in the CAPER template for 2020. So, that change is effective for 2021.

The last thing we have for new feature is the Section 3. This is just for the grantees that are required to report on Section 3. You'll need to complete this CR-58 Section 3 screen in the CAPER template which is brand new this year. You're also required to submit that Section 3 MicroStrategy report. Again, this will be a PDF. You'll download and then attach it to that CR-00 Admin screen.

One more thing about this. Important to keep in mind is that as you may know, Section 3 crosses a few CPD Offices. First, I'd consult with the HOME and CDBG Federal Register Notices, so you're up to speed on that. As you're working through the Section 3 reporting, if you have questions, because it's new, we definitely recommend that you reach out to your Field Office, and they can support you as you work through that.

All right, that's all I have for new requirements. I'm going to pass it back to Niki to get into the details of the CAPER.

Niki Deininger: Thanks, Joel. Now we'll take a closer look at the data, and the CAPER template, and its relationship to the Consolidated Plan and Annual Action Plan to better understand where it all comes from.

When you create your CAPER template, the system will automatically populate many of the fields with data. This auto-populated data is organized by the goals that are included in your Strategic Plan and Annual Action Plan.

You may be used to thinking of your accomplishments in terms of activities. However, for the CAPER, you should think of accomplishments in terms of goals.

The auto-populated data in the CAPER comes from a few different sources in IDIS which we've grouped together into three buckets on the slide.

The first bucket is your Strategic Plan and the Action Plan for the given program year. The data related to the expected values—for example, expected outcomes, goal outcome indicators, and funding amounts—comes from your Strategic Plan and the Action Plan. This includes what you expected to accomplish and spend during the program year and overall, in your Strategic Plan.

The second bucket is information gathered from the activity screens in IDIS and this includes your reported outcomes from the activities that are connected to the projects included in your Action Plan.

The third bucket includes the financial information from IDIS related to grant funding and drawdowns. This includes the actual amount of funds disbursed for the activities that are connected to the projects in your Action Plan.

With all of this information, the CAPER compares what you said you were going to do in your Strategic Plan and Annual Action Plan with what you actually did. All of this information is organized by the goals you outlined in your Strategic Plan and Annual Action Plan.

So, how does IDIS make the connection between the goals from the Strategic Plan to the goals in the Annual Action Plan, to the accomplishments at the activity level?

The system makes the connection when crucial pieces of information in the setup of your goals, goal outcome indicators, projects, and activities are aligned. When you align this information, the system is able to more accurately capture your accomplishments by goal at the end of your program year.

When you align information in your Strategic Plan all the way down to each activity, there are less likely to be errors in the auto-populated data in the CAPER template. That means you'll spend less time correcting errors when working on your CAPER.

To understand how you can align the information in your Strategic Plan all the way down to a specific activity, we can start by looking at the pathway from the Strategic Plan straight down to a single activity.

The visual on the slide outlines the key pieces of information that should be aligned from the Strategic Plan down to the activity. As you move further down the slide, this information is becoming increasingly more specific until you get to the activity level.

As you get more specific, you should continue to align the information shown on the slide. This allows the system to group what you've accomplished at the activity level to the goals originally outlined in your Strategic Plan.

Starting at the top with the Strategic Plan: your Strategic Plan outlines the goals, Goal Outcome Indicators (or GOIs), priority needs, target areas, and anticipated resources for your jurisdiction over the next three-to-five years, depending on the length of your Con Plan cycle.

In your Action Plan, you're now breaking down your Strategic Plan into one-year increments. In your Action Plan, you outline what your jurisdiction intends to accomplish in one specific program year.

Since the Action Plan is a piece of your Strategic Plan, this means that the goals, GOIs, priority needs, target areas, and anticipated resources in each Action Plan should align with the Strategic Plan. The Strategic Plan says what you plan to accomplish over three-to-five years whereas each Action Plan says what you plan to do in a single year.

Now as you move further down to the project level, again, you want to include the same key information for your projects. You're breaking down your one-year plan into projects, so your projects should include the same types of information from your plans.

Then at the activity level, it can get a little tricky because activity level information isn't directly captured in the Strategic Plan and Action Plan. You include projects in your Action Plan, and you set up activities in IDIS, and then you connect those activities to those projects that are included in the Action Plan.

You can think of projects as a connection or bridge between your Strategic Plan, Action Plan, and the rest of IDIS. What this means is that in order to align the information between your projects and activities, it's important to ensure that your activities are associated with the projects in your Action Plan and that you select the appropriate matrix code for your activities.

By making sure that the matrix code for your activity has the same measure as the goal outcome indicator for the associated project, the system is then able to add up your accomplishments for the CAPER.

This slide provides an example of how to align the data in your Strategic Plan down to each activity. Our example is for a community that wants to provide homeowner housing rehab. They may have several other goals that they'd like to accomplish over the next five years, but to simplify things for this presentation, we're just going to look at the alignment between the Strategic Plan and their homeowner rehab activity.

As you can see on the slide in their Strategic Plan, this community would like to rehab 100 housing units over the next five years. They create a goal in their Strategic Plan to rehabilitate the existing housing stock for Neighborhood X and the GOI is housing units rehabbed.

In Year One, they plan to rehab 20 of those 100 housing units. In their Action Plan, they set up a project for homeowner rehab, and include the same goal and GOI that was listed in the Strategic Plan.

Since the community plans on rehabbing 20 housing units in Year One, they decide to set up a single activity for each unit rehabbed and they use Matrix Code 14A for Rehabilitation Single Unit Residential.

The accomplishment type for this matrix code is housing unit which aligns with the corresponding goal and GOI from the Strategic Plan, Action Plan, and project.

At the activity level, when selecting the matrix code for an activity, you can use the resources available on the HUD Exchange to select the appropriate activity category based on the information from your Strategic Plan, Action Plan, and projects.

Specifically, Appendix B of the eCon Planning Suite Desk Guide includes more information on GOIs and there are separate manuals for using IDIS for CDBG, HOME, ESG, and HOPWA activities.

Here are some tips to help set you up for success. When setting up your goals, you can select one or more GOIs for each goal.

When setting up your projects, we recommend only associating one goal per project and being sure to use the same GOIs for the project that were used for the goal.

A big reason for this is because if you have multiple goals associated with a project, the system doesn't know how to divide your accomplishments across those goals. If you only have one goal associated to a project, then the system is able to attribute the accomplishments to that goal.

When setting up your activities, you want to make sure that your activities are associated with a project that's included in the Action Plan. You have some flexibility when setting up the relationship between your activities and projects. For example, you can associate one activity to one project, or you can associate many activities to a single project. How you decide to step up your activities and projects depends on whether the activities and projects include the same goals, GOIs, priority needs, and target areas.

By keeping these tips in mind during setup, the system will better understand how the data in your Strategic Plan, Action Plan, projects, and activities all are connected and, the auto-populated data in your CAPER template is more likely to accurately capture your program year.

Now that we've gone over the data relationships behind the CAPER, we'll shift to reviewing the CAPER screens. We won't review every single screen in the CAPER template, but instead are going to focus on the screens that grantees most frequently have questions on. If you have a question and we don't cover the topic, please add a question in the Q&A panel in Webex or submit an Ask A Question (AAQ) on the HUD Exchange and we can follow-up with you.

The first screen containing data is CR-05: Goals and Outcomes. Towards the top of the screen is Table 1 which outlines your accomplishments for the specific program year. This table lists accomplishments that are associated with a project for the program year and are organized by goal.

On the slide is a screenshot of Table 1 for a grantee with a homeowner rehabilitation goal. In the middle of the table, you'll see that the indicator—or GOI—is homeowner housing rehabilitated.

The expected value to the right is the value that the grantee entered for the goal income indicator for the homeowner rehab goal. This information comes from AP-20 of the associated Action Plan. The values from the actual outcomes from the accomplishment data are from the activity accomplishment screens for activities that were associated to the project connected to the homeowner rehab goal.

Further down on CR-05 you have Table 2 which outlines your accomplishments to date. So, whereas Table 1 looks at what you did relative to what you set out to do for the program year, Table 2 looks at what you have done to date relative to what you set out to do for your three-to-five-year Strategic Plan.

The expected accomplishments in this table come from the values you entered on SP-45 of the Strategic Plan for the applicable goal and the actual accomplishments come from the outcomes you entered for the activities associated to the projects connected to the specific goal in IDIS.

The next screen is CR-10 which reports on the families assisted during the program year and indicates the race and ethnicity of those families. The auto-populated data on this screen is from the accomplishment screens for activities associated with the projects included in your Action Plan.

Unfortunately, you don't have the ability to add additional rows or edit the existing rows on this table. But you do have a couple of different options to address this.

We recommend that you try to fill out the table as best you can with the data that you have. Then in the narrative field below the table, you can describe all of the data categories that you used and explain the number of families assisted for each different grant program.

Alternatively, you can attach the associated MicroStrategy reports to the CAPER on CR-00 such as the PR-23 report which will include a more detailed account of families assisted.

Lastly, you could add your own table or image below the narrative field by selecting the "Add JPEG" or "Add Table" button. If you use this option, you can recreate the Race/Ethnicity table using all of the race and ethnicity categories that you have data for, and then attach that to the narrative field. If you choose to do this, just be sure to clearly label the table and explicitly reference it in the narrative field.

The next screen is the CR-15 Resources and Investment screen. The Resources Made Available column is pulled directly from the AP-15 Expected Resources screen of your Action Plan while the Amount Expended column is calculated by the system. The system adds up all of the drawdowns completed for the given program year. The key to that second column is the word "completed." If you had a late draw from the prior year that spilled over into the current program year, then you'll need to adjust the auto-populated value in this column to accurately capture expenditures for your program year.

Next on the CR-15 screen is the Geographic Distribution Table and this will only populate if you have geographic priorities or target areas. If you don't have target areas, then you would just see the heading of the table on this screen, but there won't be any data populated.

The first column in this table will populate directly from the AP-50 Geographic Distribution screen. On that screen in the Action Plan, you stated your priorities and planned percentages of your allocation.

The second column of this table—the Actual Percentage column—this will not populate automatically. Instead, you'll need to fill in this manually.

The narrative description field—this will populate from AP-50 of your Action Plan, and we recommend reviewing and editing this description, especially if it's long to avoid any error messages that you may receive in the CAPER on that screen when trying to save.

The CR-20 screen is the Affordable Housing screen. The first column in this table is pulled from your Year One Goal column from the AP-55 Affordable Housing screen from the Action Plan.

If you're unsure what information to include in the Actual column, we recommend that you refer back to AP-55 of the Action Plan to see what you included on that screen and then use any reports available to you to populate the Actual column to reflect outcomes related to AP-55.

Further down on the CR-20 screen is the Number of Households Served table. The values in this table are pulled into the CAPER from your accomplishment data in IDIS. Remember that accomplishment data is reported differently depending on the grant program.

For CDBG, the auto-populated data in the table will include accomplishments recorded during the program year regardless of whether the activity is "Open" or "Complete" in IDIS. But for HOME, accomplishments will only populate in this table once the activity is marked as "Complete" in IDIS.

Now I'll pass it back to Joel to go through some helpful reports for completing the CAPER as well as required reports that you'll need to submit with your CAPER.

Joel Warren: Thanks, Niki. Just a reminder for folks, so the materials—the transcript, the slide, the recording of this webinar—will be posted one-to-two weeks after today on the HUD Exchange. You'll get a notice similar to the invite you received through HUD Exchange messenger in your email when those materials get posted.

I know there's a lot of material so far. If you have questions, make sure you're using the Q&A pod and we'll answer as many as we can afterwards. If we don't get to all the questions today, we will be answering other questions submitted that we didn’t answer in narrative form and then posting those responses as well with the materials today.

Moving on, we’ll dive into a few reports. This is the Con Plan Goals and Accomplishments report and is one of the best reports to run. But the key part is to make sure that you run it before you make the CAPER template.

This report will give you a glimpse into how your CAPER will populate data based on what the system sees for your Action Plan. This will highlight issues before you generate the CAPER and then give you some time to rectify those issues.

When you run this report—which I’ll show you the screenshot next—but when you run it there are three headers. There are three sections that it will give you data and this is really important to note.

The first one is that bullet that says, “Associated with one SP or Action Plan Goal.” The second heading will be those accomplishments “Associated with Multiple Goals” and then the third section will be those “Accomplishments Not Associated with Any Goal.”

We’ll get into a little bit more of why that’s important next. This is a screenshot of what the report looks like for those accomplishments associated to a single goal. This is exactly how it would look in your report.

It’ll show you the accomplishments by goal for both your Strategic Plan—which is that three-to-five-year plan—and it’ll also show you the accomplishments based on the program year which is your Action Plan. You’ll see it’s devised by column. You see the Outcomes Expected from the Strategic Plan. That comes straight from the SP-45 goal and the Outcome Actual. That’s what the system is finding for your accomplishment data for that five-year period.

Moving two columns to the right, I know it’s hard to see. But again, you’ll see these materials posted later. If you have questions, feel free to put them in the Q&A pod.

Then you see that Outcome Expected Program Year. That’s the number that you put in the AP-20 goal in your Action Plan and then to the right you see the Outcome Actual Program Year. That’s the actual accomplishment data the system is finding for that goal.

This report is great to run before you make the CAPER template because it’ll show you what data you can expect to see in the CAPER. The next thing you want to talk about is what won’t be populated well.

This is one good reason that there are better reports to run to find actual accomplishment data. The best part of this report is really kind of the negative. It's going to show you what's not going to be populating in your CAPER.

Any data that is populating in the "Accomplishments Associated with Multiple Goals" or "Accomplishments Associated with No Goals?" That accomplishment data will not be moved over into your CAPER.

By running this report before you start your CAPER template, this will give you time to find out where those accomplishments are coming from and then you can align those accomplishments to the right goal.

When you make your CAPER template, you're going to minimize your need to manually update all of your data. As Niki said earlier, to fix these issues, you just need to make sure that whatever accomplishment is not moving forward into the CAPER, you just make sure you realign that project to the right goal and make sure you're using those same GOIs that Niki talked about earlier.

This is one of the best reports to run before you make the CAPER template. It's going to give you a really good idea of exactly how your CAPER is going to populate.

All right, so these are all of the required reports that you have to submit with your CAPER in IDIS. Entitlement grantees must submit those three PR-26 reports whereas states are sending those PR-28 reports.

They're very similar ones for entitlement as for states. The purpose is the same. These are critical because they're going to demonstrate to HUD your compliance with caps, making sure that your funds are primarily used to support low- and moderate-income persons. Again, that you're in compliance with your service and admin caps as well.

We touched on this a little bit earlier. Again, this is new, so it's worth highlighting again that Section 3 report.

We had one question of where to find it. You find the Section 3 report in the same place you would find a PR-02, PR-03, all those other MicroStrategy reports. It's towards the bottom because it's newer. You'd download that report in PDF form and then upload it to that CR-00 Admin screen.

These reports—as it says on the slide—are helpful to get into the data. These are not required to be attached to your CAPER. But some grantees do because they are really good at showing your accomplishment data as well as they'll match all your ESG finances.

The PR-03—the CDBG Activity Summary Report—this will pull down all of your program and financial info on projects and activities for your program year at the activity level. This report is very long. It's usually about two pages per activity and includes tons of detail that will give you all of the information you would need to complete or edit that CR-05 screen.

I'll get into a different version of this report on the next slide, but keep in mind that this is the PDF version. It's about two pages per activity. It's best suited to update narrative because it'll include your project description and your activity description for each activity which is helpful if you're looking to update narrative to reflect your accomplishments on CR-05.

Onto the PR-22—the Status of Home Activities Report. This is great to use when determining the number of TBRA units completed during the program year. It'll display all your HOME activities by tenure type, activity type status, number of units, and number of HOME units.

It'll also show you commitments in the drawn amount for each activity. This should give you all the information you would need to complete the CR-05 for your CAPER. One thing about this report, when you do run it, be sure to select all years in that second prompt just so you can get all the activities possible.

PR-33—the HOME Match Report—is honestly the most helpful when you're completing that HOME match screen which is on the CR-15 Resources screen. Two things to point out about HOME match here.

Just a reminder that HOME match is based on the federal fiscal year, not your program year. It's important to note that. Keep in mind as you're working through the report, many grantees are requesting the waiver. You have to request the waiver. It's not automatic. If you run this report and you see your match liability is zero, that means your waiver is approved.

Finally, here is the PR-91. This was updated recently. I think the latest or the second latest release, so it does include ESG-CV as well. This will give you a detailed summary of all of your ESG financial activities, again, organized by program year like the others.

Another great thing about this, it does summarize your draws by subrecipient. This can also be helpful for your narratives in both the CR-05 screen and elsewhere where you can talk about actual subrecipients and what they're up to.

Just one last thing worth highlighting again. Make sure you're attaching that Sage report. If you're putting information—for 2021 CAPERs and onward—you're putting less ESG content in the CAPER template. But this is still useful even for Sage. This is good too. You can see both narrative by subrecipient and your financial draws here to help you complete the Sage report.

Onto other reports that are super helpful as you work through your CAPER template. These both help with narrative. These reports mostly then are going to be more data oriented.

We kind of already talked about the Con Plan Goals Report. Run this before you start your CAPER template. It'll show you what to expect as far as data goes for your CAPER.

The PR-03—so we talked about what the PR-03 is in PDF form. This BOSMAC version is a little bit different. It downloads as an Excel file. It lets you filter and manipulate data really in any way you want. It's kind of the universe of CDBG activities organized in Excel form that you can then format and filter any way you want. This is really good to get down to the data.

If you're having some discrepancies between the Con Plan Goals Report and what you think should be there, this PR-03 BOSMAC version can really be helpful.

These PR-05, PR-07, PR-09 reports? These are all similar, but they're going to be really helpful in completing your PR-26. This will help you verify expenditures, program income, and all those transactional details that you're going to want to put in your PR-26.

Let's say you've made the CAPER template. You've got to the point where your data is good. Your narrative is all in there. You're ready to attach your reports to the Administration screen. You're ready to submit.

Here is the actual screenshot of the CR-00 Admin screen. Click right where it says "Browse to Attach." You would then upload all of your attachments in PDF form there.

I recognize there are an increasing number of attachments we're asking you to attach. You might have to combine a few PDF reports into one. If that's the case, you have five spots here to attach all the PDFs that you need to.

Once they're all attached, scroll to the bottom of the screen. Click "Submitted for Review" and then "Save" or "Save and Return." That would change the status of the CAPER to "Submitted for Review."

The last few slides here before we get into the Q&A. We'll go into some common issues that we see through the AAQ (Ask A Question), and we have a few checklists too.

Just a reminder. The checklists, we'll run through them. But they might be most helpful for you in printed form. These materials will be available in about 10 business days.

These are the four most common issues we still get through the AAQ. It's worth going over. The first one is that the grantee is not able to make their CAPER template and usually that's because there is no Action Plan that is marked "Review Completed."

We talked earlier about the amendment, so there's a caveat. If you have an amendment open, the system will allow you to make a CAPER template. It'll just associate that template to the previous version of the Action Plan.

To reiterate, it's really important when you're done with your amendments to make sure you have that Action Plan marked as "Review Completed" before you make your CAPER template.

Next one here is the Goal Outcome Indicator or GOI. Again, the measure in the latest Action Plan is different than the one used in the Con Plan for the same goal.

To fix this, you'd have to amend the Action Plan where there's a discrepancy between the goals. You'd go to the AP-20 screen, go to that goal, and towards the bottom, there's that table with all of your options for goal outcome indicators.

You're going to want to make sure that you're using the same goal outcome indicator for each goal and any associated project. Again, make sure you're using that same GOI.

The third one here is very similar. We're saying the GOI unit of measure in a project is different than the Action Plan. The system will let you choose a different GOI between project and goal. But you shouldn't do that. Whatever goal outcome indicator you're using for a goal, if you associate a project to that goal, you should use the exact same GOI.

If by some chance you're looking at some of the reports before you start your CAPER template and you realize the GOIs aren't matching, to fix this, you have to amend the Action Plan, go into that project screen or the goal screen—whichever one is misaligned—and just make sure that those AP-35 projects and associated AP-20 goals are aligned with the same GOI.

Then lastly here, the dreaded red text error. Let's say you hit "Save" and you just get a wall of red text or even just a little bit of red text at the top saying there's an issue. The screen couldn't save.

The most common culprit here is the character limit. Even if you think you may be only pasting a little bit of text into the narrative field, sometimes when you hit "Save," the system will input a bunch of extraneous characters, almost like Wing Ding-looking characters, in the middle of a paragraph or a sentence. If that's the case, you might be over the character limit and not know it.

If you get that red text, the first thing to do is to delete whatever was in the narrative field, use the Paste from Word Widget which is there in that bottom box. You'd click that. You get a little dialogue box. Paste all your text in there. It'll clear out the special characters that are behind the scenes in IDIS and then use that to paste into the narrative field.

Always scan the page if you're seeing this error and make sure that there are none of those special characters that are hanging out elsewhere on the screen.

Onto the checklist. This first one is a checklist to be completed before creating the CAPER template. Somewhat of a review here. Make sure all of your amendments are in IDIS and make sure it's submitted to HUD. Make sure it is "Review Completed" before even thinking about making the CAPER template. Ensure all of your projects have the correct year associated with the right activities.

This is also a great time to make sure your GOIs are aligned. Make sure all of your accomplishment data is in IDIS. Usually, you need about 24 hours to make sure it's all set. I would enter your data and give it a day. Log off, give it some time. I wouldn't enter all your data into the system and then make your template. I'd give it a little bit of time in between.

Make sure you're completing all of your drawdowns for the program year before you create the template. Once you have done all that, run some of those reports. Run the Con Plan Goals report to get an idea of what it's going to look like beforehand. You can even run the PR-03 and PR-02 just to get a sense of where your data is.

The checklist before you actually submit the CAPER to HUD. On that CR-05 screen where all the data is editable, make sure that that's exactly how you want it to be. Make sure you validated all of that with MicroStrategy reports. Make sure it's all as accurate as you can make it. Make sure you have all of your required reports. Again, Sage report, Section 3, PR-26 for entitlements, PR-28 for states, and then another reminder, Sage report for ESG recipients.

Once you've done all those things, you're ready to submit the CAPER. We've covered a ton of ground. The Q&A pod is there. Feel free to use that.

Materials will be posted in about two weeks. I'll hand it back over to Rob to talk us through some resources and then we'll get into the Q&A.

Rob Sronce: All right, thank you very much, Joel. We'll go to this Resources slide. I'll drop some of these links into the Chat.

Again, there are a number of resources available on the HUD Exchange including these quick guides on creating and amending the CAPER, and the Consolidated Plan, and your Annual Action Plan including the link to the reporting requirements for CDBG-CV.

I also put some links in the Chat about some resources and the CDBG-CV toolkit. Also, in the CARES Act Virtual Conference, there was a session regarding CDBG-CV reporting in IDIS. And of course, many past seminars and trainings are recorded like this one.

If you have not taken advantage of it, there is a UAT training environment for IDIS and the eCon Planning Suite that is periodically refreshed with your data. You can go in and play around in IDIS without breaking anything. If you need access or have questions about accessing UAT, please use the Ask A Question and we'll respond and get you set up to be able to access UAT.

Now we'll go to the Q&A. We have a number of questions that we've gathered. Did you want to read those out on your own? I know that Joel and Niki, you can see those. Do you want me to read them out or did you want to go ahead and do that?

Joel Warren: I can start with a few.

Rob Sronce: Okay.

Joel Warren: I'll just read what I see at the top and go from there. The first one I see is, "Is the Strategic Plan the same as the Consolidated Plan?"

So, generally, yes. That's true. The Strategic Plan is a portion of the Con Plan. It's the portion where you're talking about your goals, your needs and all the funding sources attached to that five-year plan. As it pertains to the CAPER, yes—the Strategic Plan and the Con Plan are the same thing.

Next one I see is for the CR-20. "What does that mean that it will count CDBG accomplishments even if the activity is not in "Complete" status in IDIS? How does it count if it's not complete?"

This is the one that Niki touched on—the differences between HOME and CDBG. In CDBG, if you have an activity, and it's not "Complete," but you do have some outcomes associated to it, you can still put those outcomes—those accomplishments—in IDIS without marking that activity as "Complete" and the CAPER will still round those up if it's in that program year and bring it into the CAPER.

That is not the same for HOME. HOME will only pull data into the CAPER once the HOME activity is marked as "Complete."

Again, for CDBG activities, any accomplishment data you have for the activity no matter the status—as long as it's not "Cancelled." If it's "Open," it'll still pull that accomplishment data into the CAPER.

Let's see. Niki, feel free if you see a couple that you want to answer. There's one here. "If you started a template, you could go back and withdraw completed activities for the reported year. Is there a way to delete or cancel that template already started?"

The answer is no. Once the CAPER template is made, there's no deleting it. You can abandon it. You can rename it to "Abandoned" or "Obsolete," but you cannot delete the CAPER template.

There's no harm in making a new template. It won't capture a different set of data completely. It'll just capture all the data from the first template plus whatever you've added since. There's no harm technically. You just really want to make sure that you're not working in that obsolete template.

Niki Deininger: I see a question. It says, "If you make a second corrective CAPER, will that CAPER pick up new data or only the data inputted before the first CAPER was created?

That's a good question. If you notice that something wasn't correct in the first CAPER, and you decide to abandon it, and then you create a new CAPER, it will. When you select your program year for the Action Plan that the CAPER is associated to, it will pull in the data from when that Action Plan was last marked "Review Completed."

If you realize there was a mistake in your first CAPER, perhaps because your Action Plan was in the midst of an amendment, and you have since submitted that amendment and now it's marked "Review Completed," and then you create your second CAPER. That second CAPER will now pull in the data from the amended Action Plan.

Rob Sconce: I see a couple here on the Sage report. I'll combine a few of these.

First one, "For ESG, is data supposed to be transferred from Sage to IDIS? If so, does it happen automatically? How does that occur?"

It does not happen automatically. The Sage report is a completely standalone PDF that you're attaching. There's really no data connection between Sage and IDIS.

You're attaching that standalone PDF report. If you're putting Sage information into, say the CR-65, CR-70, CR-75? You have to do that manually.

You can look at your Sage report PDF version and just use that to populate any of those ESG screens in the CAPER. All the screens just like the CR-05 will be edible.

Wherever there's a data table, or a place to put in a subrecipient for ESG in those CR-60 to CR-75 screens? Those are all edible. You can use your Sage report to inform it.

There's a similar question, "Is it okay to enter ESG data into tables as well as attaching the Sage report?" That answer's yes, so feel free.

As long as you're meeting the requirements of attaching the full Sage report, if you'd also like to put the data in IDIS, you're welcome to do that.

This is a new one. "Are there updated instructions on completing the Sage report?"

Yeah, there are. I think it was updated in March 2022. The link that Rob had on the Resources page, that'll bring you to the latest update. But I can also find that in a second here and put that in the Chat for you.

I'll do that right now.

Niki Deininger: I see there's a question and it's asking whether this webinar covers the HOPWA CAPER and is the CAPER only able to be completed through IDIS.

This webinar is for your big CPD CAPER. It touches on CDBG, HOME, ESG, HOPWA, and the Housing Trust Fund. There is a separate HOPWA CAPER for HOPWA formula grantees that you would fill out separately and submit to OHH. They are separate CAPERs.

Rob Sconce: I see a few on HOME-ARP too. I'll just read the one. I think the answer's the same for both.

"Our city's HOME-ARP Action Plan has been amended with the HOME-ARP Allocation Plan. How will we report on HOME-ARP accomplishments?"

I've seen the latest guidance from the Notice that there will be forthcoming guidance from OAHP on how to report on HOME-ARP. I think for right now, it's still so new that there's not clear guidance on if it's going to be involved in the CAPER. If it is, that guidance will come out soon.

I think in the meantime, if you're having HOME-ARP accomplishments that you want to report or show in IDIS, I would work with your Field Office if you're already that far down the path.

This one's talking about Sage: "Can you review all the required reports that need to be submitted with the CAPER?"

The PR-26, all those three reports are required for entitlements and for states it's the PR-28. If you are reporting on Section 3, you're required to also submit that Section 3 report. If you receive the ESG funding, you're also required to submit that Sage report.

Niki Deininger: Here's a similar question on ESG and Sage. "So, for ESG, the data is supposed to be transferred from Sage to IDIS. Is that done automatically?"

So, no. Unfortunately, there isn't an automatic connection between Sage and IDIS. There won't be auto-populated data from Sage in your CAPER template.

If you receive ESG, there are instructions in that Sage manual that Joel mentioned previously that explain how you can export the information from Sage into a PDF and then you will attach that to CR-00 of your CAPER in IDIS. As Joel also mentioned, there's updated guidance on the HUD Exchange about which particular screens you'll want to fill out in the CAPER.

Joel Warren: I see one about the PR-03. This resonates with me because it's very true. So, "The PR-03 has lots of options. I never know which one to use. Is it the BOSMAC original?"

That's the one I prefer. So, the BOSMAC original will give you kind of the universe of options. I think it might look a little bit overwhelming at first if it's your first time seeing it, but just know it's all the things you would need to complete the CR-05. It includes everything.

You can definitely filter out a lot of those extraneous things that you don't need to complete the CR-05. But yes, the BOSMAC original will be helpful. It's an Excel file, so you can really just hide columns, hide rows that you don't need.

But yes, PR-03 lots of options. BOSMAC original is the best BOSMAC to use. Yet there are specific questions too on activities or how to interpret some of those PR-03. If you submit an AAQ to either the IDIS or eCon Planning Suite, we can help more with that.

This one says to clarify for CDBG the projects that should be listed in the Action Plan and therefore carried into the CAPER to include all projects under way during the program year not limited to just projects closed or funded in a program year.

Yes, so if your CAPER is for CDBG, you're reporting on all the accomplishments that occurred during that program year. That might be projects that you funded two years prior that you're reporting the accomplishments for now. In any case, the answer is yes, you're including all of your program accomplishments for that program year in that CAPER.

I see a good one too at the bottom. "What are the key differences this year?"

There's the Section 3 for CR-58. There is also reporting for CV that was one that we touched on. You're still required to report on your CDBG-CV accomplishments during the program year.

If you're reporting the data, CR-05 is a great place to put those. When you're talking about how the pandemic has impacted other formula funds, CR-45 is good for that.

The other one we'd talked about was the Sage report. The CR-70 and CR-75 will now be reported in Sage whereas CR-70 and CR-75 used to be reported solely in the eCon Planning Suite in the CAPER template.

We'll run back real fast. Section 3 is new. Just make sure you're still reporting on CV accomplishments that occurred during the program year\. CR-05 and CR-45 are the best spots for that, then per ESG the new pieces. You're reporting CR-70, and CR-75 in Sage.

So, there are a couple here on timing. "The CAPER due date of September 28, 2022, will be for which program year?" So, remember that example was assuming your program year ended on 6/30/2022.

In any case, your CAPER is always due 90 days after your program year ends. But you are able to extend that. So, if you need an extension on the CAPER, make sure you're working with your Field Office. Get that submitted.

Another one: "HUD allocations didn't come out until mid-May. Submittal was extended until the August 16th statutory deadline. Since we cannot create a CAPER template until our Action Plan is complete, is there going to be an extension for completing the CAPER?"

I think that would be two different program years. You won't report on the CAPER until 90 days after the Action Plan program year ends.

So, let's say you're submitting your 2022 Action Plan now and that was extended due to a delay in allocations. You're not going to be reporting on that CAPER until 2023.

Again, this CAPER is always due 90 days after the program year ends. If you can't make that deadline for some reason, make sure you reach out to the Field Office and request an extension.

Rob Sronce: I just want to let you know we are at a quarter after, but we'll keep going. Lots of questions. Again, this will be recorded and posted after HUD has reviewed the recording and we get it transcribed. That's why it takes a little bit to get it posted because of the process of review.

Also, if you don't get your question answered today, please use "Ask A Question" and then we'll answer it directly. We also keep a log of the Chat and the Q&A. That's very helpful for us to develop content.

Joel Warren: I see one that's kind of also about timing. "How does the substantial amendment require for the 2021 Action Plan to accommodate the HOME-ARP, impact the CAPER? For example, the CAPER for 2021 was submitted already. However, the 2021 amendment for HOME-ARP has not yet been loaded."

Those two things, they're not effected right now. You're not being asked to report any HOME-ARP in the CAPER. If you've already submitted your CAPER for 2021, it's under review. Nothing in the Action Plan will have changed your CAPER because the Allocation Plan for HOME-ARP is completely separate from the Action Plan itself. It's kind of a standalone document right now.

Your 2021 CAPER and your 2021 HOME-ARP Allocation Plan are not connected. If you've already submitted your CAPER and now, you're saying your Action Plan is marked as "Submitted for Review," that's perfectly fine. There's no discrepancy in data that will occur. That's completely fine.

I see a few more on Sage. "Are we required to include a copy of the Sage report when we put the draft CAPER out for public comment?"

That's a great question. I would say yes. I think when you put the CAPER out for public comment, you should include all the pieces of the CAPER that get submitted to HUD. That's your entire CAPER submission. I would say yes.

I think this is a part of a different question. I don't see the first part. This says, "Did they change what is required to submit in Sage? I did not see any update."

Yeah. That change occurred I believe in March 2022. I linked to the latest guidance from the guidebook in the Chat. I would go there. That's the best place to look.

I had mentioned earlier that if you go to the HUD Exchange, or you Google ESG CAPER Guidance, there is a page on the HUD Exchange that still has old guidance on the CAPER. The link that I put in the Chat brings you to the actual guidebook. The guidebook is updated. If you have questions on Sage, on which screens to complete for ESG in the CAPER, use that ESG Sage guidebook. That's the latest guidance.

Okay. I see a few here fresh in Q&A. "When will the training be on reporting for CDBG-CV?"

I don't think we have one scheduled in the near future. But there are two that exist online already that we did for the CARES Act Conference both this year and last. If I can find those quickly, I'll put them in the Chat for you. Otherwise, when these materials are posted we'll respond to that question with links.

But if you go on the HUD Exchange, look for past trainings and both CARES Act Conferences have webinars like this that are solely on how to report CDBG-CV in the CAPER.

Rob Sronce: Yeah, I've got that one. The virtual conferences?

Joel Warren: Yeah. Here's a good question also about timing. So, "After completing the CAPER, can we amend the action plan?"

Yes, technically you can. But I would be a little bit weary. If you're amending the Action Plan in a way that would impact the CAPER, I would just make sure you're being very transparent with your Field Office.

If you've already submitted your CAPER and you think all of the data narrative is good, but then you're amending that associated Action Plan, it seems to me like there'd be a lot of room for some discrepancies to be made.

I would be clear with your Field Office on what you're changing and why.

Rob Sronce: Just a note, if you're asking why you can't see the Q&A, those are submitted to presenters only, so that we can see them, and log them, and respond to them appropriately and so they're not a distraction for you.

Also, we're not able to respond to specific requests to send information to you through this platform. However, submit a question to Ask A Question and we can respond to you directly including if you have questions regarding things that you've seen in this presentation, we can respond to those as well through "Ask a Question" or if you want to know where to find something on the HUD Exchange, we produce most of that material. We'll be able to find it for you and send it to you through "Ask a Question."

Joel, you're looking through the many questions. Do you have anymore that you're able to answer today?

Joel Warren: I think I see one or two more good ones for the whole group to hear. This could be anything really. The question says, "How do you report on CDBG-CV on CR-05 when they are associated with a different Annual Action Plan?"

This is true for any program, but also could be a different Con Plan. If you're in Year One of the Con Plan, you might have some carryover activities that you still have accomplishments for that aren't associated to a current goal.

In any case, the answer's always the same. You can just manually add data to the narrative on CR-05. It's simplest at the very bottom of CR-05 there's a Discussion field. That's a good place to talk about any activities that aren't associated to a goal in the table and discuss funding as well. You can talk about the funding spent in a program year for CV that can't be associated in the table. But in any case, the CR-05—that very bottom narrative field—that's the best place to put information on accomplishments that you can't put in the table itself.

Rob Sronce: All right, thanks, Joel. Thanks, everyone, for attending today. Thanks for all those that put together the slides, Niki and Joel for presenting, and Gloria Coates and Erinn Martin from HUD Headquarters listening in.

Thanks a lot for your questions. I know we weren't able to get to them all. Please submit them to Ask A Question if you need them answered. Otherwise, it is very helpful for us to see the questions you have to guide the materials. We will be reviewing those as TA providers, also HUD staff and Headquarters, to help guide the kind of resources that we make available to you. Again, there are many resources on the HUD Exchange available.

The slide deck, transcript, and the recording will be available on the HUD Exchange one-to-two weeks after we finalize and send over to HUD for review. Thank you very much for attending and we'll look forward to seeing you next time.