CAPER and the eCon Planning Suite

July 26, 2018
Webinar Instructions

• Presenters
  – Jon Kunz, The Cloudburst Group
  – Susan Walsh, The Cloudburst Group

• HUD Staff
  – Jessica Suimanjaya, OAHP
Webinar Instructions

• Webinar will last approximately 90 minutes

• Materials will be posted on the HUD Exchange
  – Slides, transcript, recording
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• Questions will be answered verbally
• May not be able to answer all questions
This webinar is made possible by
eCon Planning Suite Reminder

- 2018 AAP Due Date
  - ALL 2018 PLANS MUST BE SUBMITTED BY AUGUST 16
  - Action Plans must include 2018 allocation
Agenda

1. CAPER Basics
2. Con Plan Goals and Accomplishments Report
3. Setting up the CAPER
4. Completing CAPER Screens
5. CAPER and ESG
6. Troubleshooting Common Issues
7. Question and Answer
1. Identify strategies to ensure data properly populates CAPER template
2. Describe the process for using the Con Plan Goals and Accomplishments MicroStrategy Report to complement the CAPER
3. Complete CAPER set-up and submission in IDIS
4. Identify common issues and describe how to address them
CAPER Basics

• Goal: Report and assess the progress made towards achieving strategic plan goals
• Due 90 days after the end of the program year
• CAPERs must be entered and submitted in IDIS
• All Consortia grantees are responsible for creating their own CAPER
Tracking Goals in the Con Plan

Consolidated Plan (SP-45)
- Goal
- Goal
- Goal
- Goal
- Goal

Annual Action Plan (AP-20)
*Goals for AAP year*
- Goal
- Goal
- Goal

CAPER (CR-05)
The goals I chose will automatically download. Since I said I would work on these goals, I now will report on the progress I have made for the program year and for the con plan period.
- Goal
- Goal
- Goal
Tracking Goals in the Con Plan

Consolidated Plan (SP-45)

Year 1

Annual Action Plan (AP-20)
Goals for AAP year

Year 2

CAPER (CR-05)

The goals I chose will automatically download. Since I said I would work on these goals, I now will report on the progress I have made for the program year and for the con plan period.
Tracking Goals in the Con Plan

Consolidated Plan (SP-45)

Annual Action Plan (AP-20)
Goals for AAP year

CAPER (CR-05)
The goals I chose will automatically download. Since I said I would work on these goals, I now will report on the progress I have made for the program year and for the con plan period.

Year 1
Year 2
Year 3

Can not add a new goal to the AAP if it was NOT included on SP-45 of the Con Plan
Tracking Goals in the Con Plan

Consolidated Plan (SP-45)
Goal | Goal | Goal | Goal | Goal | Goal | Goal

Annual Action Plan (AP-20)
Goals for AAP year
Goal | Goal | Goal | Goal | Goal | Goal | Goal

CAPER (CR-05)
The goals I chose will automatically download. Since I said I would work on these goals, I now will report on the progress I have made for the program year and for the con plan period.
Goal | Goal | Goal | Goal | Goal | Goal | Goal

Projects
Year 1
Year 2
Year 3
Align Goals with Projects

Consolidated Plan
*Goals for Con Plan cycle*

Annual Action Plan
*Relevant goals for year only*

**Projects**

CAPER
All Con Plan goals will automatically download with GOIs for SP and AAP (if selected in AAP)

**SP Goal:** Rehabilitate existing housing stock.
**GOI:** 200 HO units rehabbed

**AP Goal:** Rehabilitate existing housing stock.
**GOI:** 40 HO units rehabbed

**Project:** Homeowner Rehab
**GOI:** 40 units rehabbed

**Reports on:**
*Strategic Plan Goal: 200*
*AP Units: 40 Expected*
*IDIS Accomplishments: 35* Percentage Complete toward goal
CAPER Data

• Data used in the CAPER comes from the following sources:
  – Action Plan (planned #s)
  – Activity Accomplishment Reports (actual #s)
  – HMIS (ESG CAPER submission in Sage)*
    *Not auto-populated

• CAPER organizes accomplishment data by goal
• Reasons your data may not populate correctly:
  – AAP is not marked as “Review Completed” in IDIS

  • AAPs must be marked as Review Completed for your AAP to sync with the CAPER
  • Request that your Field Office marks the AAP as Review Completed in IDIS
• Reasons your data may not populate correctly:
  – AAP amendments have not been submitted

<table>
<thead>
<tr>
<th>Grantee Name</th>
<th>State</th>
<th>Year</th>
<th>Version</th>
<th>Title</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>OAKLAND</td>
<td>CA</td>
<td>2016</td>
<td>v2</td>
<td>AAP Copy</td>
<td>Open - in Progress</td>
</tr>
<tr>
<td>OAKLAND</td>
<td>CA</td>
<td>2016</td>
<td>DRAFT</td>
<td>CITY OF OAKLAND 2016/17 ANNUAL ACTION PLAN</td>
<td>Review Completed</td>
</tr>
</tbody>
</table>

• Prior to creating your CAPER, all AAP amendments must be entered and submitted in IDIS
• AAP amendments must be marked as Review Completed
Remember, when you create a project in the AAP, it automatically creates the project in IDIS.

Reasons your data may not populate correctly:
- Duplicative Projects
  - Ensure the projects entered into your AAP are the same projects associated with activities under the project tab

<table>
<thead>
<tr>
<th>Program Year</th>
<th>IDIS Project ID</th>
<th>Grantee/PJ Project ID</th>
<th>Project Title</th>
<th>Project Owner</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>2016</td>
<td>3</td>
<td>OAKLAND/PS</td>
<td>PUBLIC SERVICES</td>
<td>OAKLAND, CA</td>
<td>Open</td>
</tr>
<tr>
<td>2016</td>
<td>12</td>
<td>PS - Oakland</td>
<td>Public Services</td>
<td>OAKLAND, CA</td>
<td>Open</td>
</tr>
</tbody>
</table>

Option 1: Re-associate activities with projects created in AAP
Option 2: Amend AAP to include correct projects
CAPER Data

• Reasons your data may not populate correctly:
  – Prior Year Projects copied into current year AAP
    • Check projects in AAP to ensure Program Year is current year
    • If not, amend AAP and create new projects with correct program year

REMEMBER, WHEN YOU COPY YOUR AAP, YOU WILL NEED TO REMOVE COPIED PROJECTS AND UPDATE WITH PROJECTS WITH THE CURRENT PROGRAM YEAR
### CAPER Data

- Reasons your data may not populate correctly:
  - Accomplishment Data is not entered in IDIS

### *Accomplishments*

<table>
<thead>
<tr>
<th>Accomplishment Type</th>
<th>Proposed Units</th>
</tr>
</thead>
<tbody>
<tr>
<td>10 - Housing Units</td>
<td>60</td>
</tr>
</tbody>
</table>

### *Direct Benefit Data by Households*

<table>
<thead>
<tr>
<th>Race/Ethnicity</th>
<th>Owner</th>
<th>Renter</th>
<th>Total Households</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Total</td>
<td>Hispanic/Latino</td>
<td>Total</td>
</tr>
<tr>
<td>White</td>
<td>20</td>
<td>10</td>
<td></td>
</tr>
<tr>
<td>Black/African American</td>
<td>33</td>
<td></td>
<td></td>
</tr>
<tr>
<td>American Indian/Alaskan Native</td>
<td>3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Asian &amp; White</td>
<td>1</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>Black/African American &amp; White</td>
<td>3</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other multi-racial</td>
<td>1</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td><strong>Totals</strong></td>
<td>61</td>
<td>12</td>
<td></td>
</tr>
</tbody>
</table>
• Reasons your data may not populate correctly:
  – Accomplishment Data is not entered in IDIS
    • All accomplishment data **must** be entered in IDIS prior to creating your CAPER
    • Add accomplishments under the Activity tab for all activities completed during Program Year
    • For HOME projects, Activity must be completed for accomplishments to populate in CAPER
CAPER Data

• Reasons your data may not populate correctly:
  – Project GOI selected not same as GOI selected for AAP Goal
  – The suggested pairing of GOI to CDBG Matrix Code or HOME/HOPWA Activity Type was not used (Appendix B of Con Plan IDIS Desk Guide).

<table>
<thead>
<tr>
<th>Goal Outcome Indicator</th>
<th>Unit of Measure</th>
<th>CDBG</th>
</tr>
</thead>
<tbody>
<tr>
<td>Public Facility or Infrastructure Activities</td>
<td>Persons Assisted</td>
<td>Matrix Codes 03 (except 03T) with National Objective Other Than LMH</td>
</tr>
<tr>
<td>other than Low/Moderate Income Housing Benefit</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2 Public Facility or Infrastructure Activities for Low/Moderate Income</td>
<td>Households Assisted</td>
<td>Matrix Codes 03 with National Objective of LMH</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Goal Outcome Indicator</th>
<th>Unit of Measure</th>
<th>HOME</th>
</tr>
</thead>
<tbody>
<tr>
<td>6 Brownfield acres</td>
<td>Acres Remediated</td>
<td>Use this GOI for any activity that will redevelop property that is</td>
</tr>
<tr>
<td>7 Rental units</td>
<td>Household / Housing Units</td>
<td>Construction of new rental units</td>
</tr>
</tbody>
</table>

The following table lists suggested pairings between Goal Outcome Indicators and corresponding types of CDBG and HOME activities. Goal Outcome Indicators that do not apply to HOME-funded activities are not listed.
CAPER Data

• If you have already started your CAPER and have data issues, you do not need to create a new template:
  – Use Con Plan Goals and Accomplishments Report
  – Use other MicroStrategy Reports
  – Manually update data fields in template
Potential IDIS Reports

- PR03 – CDBG Activity Summary
- PR22 – Status of HOME Activities
- PR26 – CDBG Financial Summary
- PR28 – CDBG State PER
- PR33 – HOME Matching Liability
- PR91 – ESG Financial Summary
Con Plan Goals and Accomplishments Report

- Before creating your CAPER, run the Report to review accomplishment data
- MicroStrategy Report available in IDIS Reports tab.
- Lists accomplishment information that is:
  - Associated with one SP/AAP Goal
  - Associated with multiple SP/AAP Goals
  - Not associated with an SP/AAP Goal
### Accomplishments Associated With a Single Strategic Plan Goal

<table>
<thead>
<tr>
<th>Goal</th>
<th>Category</th>
<th>Funding Source &amp; Amount</th>
<th>Outcome Indicator</th>
<th>Outcome Unit of Measure</th>
<th>Outcome Expected - Strategic Plan</th>
<th>Outcome Actual - Strategic Plan</th>
<th>Percent Complete</th>
<th>Outcome Expected - Program Year</th>
<th>Outcome Actual - Program Year</th>
<th>Percent Complete</th>
</tr>
</thead>
<tbody>
<tr>
<td>Economic Development</td>
<td>Non-Housing Community Development &lt;BR&gt; Economic Development</td>
<td>CDBG: $</td>
<td>Facade treatment/business building</td>
<td>Business</td>
<td>25</td>
<td>1</td>
<td>4.00%</td>
<td>5</td>
<td>1</td>
<td>20.00%</td>
</tr>
<tr>
<td></td>
<td>Homeowner Housing Rehabilitated</td>
<td></td>
<td>Household Housing Unit</td>
<td></td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
</tr>
<tr>
<td></td>
<td>Jobs created/retained</td>
<td></td>
<td>Jobs</td>
<td></td>
<td>25</td>
<td>7</td>
<td>28.00%</td>
<td>5</td>
<td>7</td>
<td>140.00%</td>
</tr>
<tr>
<td></td>
<td>Businesses assisted</td>
<td></td>
<td>Businesses Assisted</td>
<td></td>
<td>50</td>
<td>7</td>
<td>14.00%</td>
<td>10</td>
<td>7</td>
<td>70.00%</td>
</tr>
<tr>
<td></td>
<td>Housing Code Enforcement/Foreclosed Property</td>
<td></td>
<td>Household Housing Unit</td>
<td></td>
<td>10</td>
<td>0</td>
<td>0.00%</td>
<td>2</td>
<td>0</td>
<td>0.00%</td>
</tr>
<tr>
<td>Neighborhood Stabilization and Housing</td>
<td>Affordable Housing &lt;BR&gt; Public Housing &lt;BR&gt; Homeless &lt;BR&gt; Non-Homeless Special Needs</td>
<td>CDBG: $ / HOME: $</td>
<td>Rental units constructed</td>
<td>Household Housing</td>
<td>2</td>
<td>0</td>
<td>0.00%</td>
<td>1</td>
<td>0</td>
<td>0.00%</td>
</tr>
<tr>
<td></td>
<td>Rental units rehabilitated</td>
<td></td>
<td>Household Housing</td>
<td></td>
<td>50</td>
<td>0</td>
<td>0.00%</td>
<td>10</td>
<td>0</td>
<td>0.00%</td>
</tr>
<tr>
<td></td>
<td>Homeowner Housing Added</td>
<td></td>
<td>Household Housing Unit</td>
<td></td>
<td>7</td>
<td>48</td>
<td>685.71%</td>
<td>1</td>
<td>48</td>
<td>4,800.00%</td>
</tr>
<tr>
<td></td>
<td>Homeowner Housing Rehabilitated</td>
<td></td>
<td>Household Housing</td>
<td></td>
<td>100</td>
<td>60</td>
<td>60.00%</td>
<td>22</td>
<td>60</td>
<td>272.73%</td>
</tr>
<tr>
<td></td>
<td>Direct Financial Assistance to Homebuyers</td>
<td></td>
<td>Households Assisted</td>
<td></td>
<td>400</td>
<td>0</td>
<td>0.00%</td>
<td>75</td>
<td>0</td>
<td>0.00%</td>
</tr>
<tr>
<td></td>
<td>Other</td>
<td></td>
<td>Other</td>
<td></td>
<td>75</td>
<td>0</td>
<td>0.00%</td>
<td>75</td>
<td>0</td>
<td>0.00%</td>
</tr>
<tr>
<td>Community Development</td>
<td>Non-Housing Community Development</td>
<td>CDBG: $</td>
<td>Public Facility or Infrastructure</td>
<td>Persons Assisted</td>
<td>45000</td>
<td>3410</td>
<td>75.58%</td>
<td>9000</td>
<td>3410</td>
<td>377.60%</td>
</tr>
<tr>
<td></td>
<td>Public service activities other than Low/Moderate Income Housing Benefit</td>
<td></td>
<td>Persons Assisted</td>
<td></td>
<td>10000</td>
<td>8065</td>
<td>8.07%</td>
<td>20000</td>
<td>8065</td>
<td>40.33%</td>
</tr>
</tbody>
</table>
Setting up the CAPER

• After confirming all accomplishments and amendments are entered in IDIS, you can create your CAPER in IDIS
• All grantees (including Consortia participating members) are responsible for setting up the CAPER in IDIS
• Enter program year and version
Completing the CAPER

- All “Actual” fields can be manually adjusted
- Review the Con Plan Desk Guide and 24 CFR Part 91 for guidance on what is required in CAPER
- Grantees can upload up to 5 unique appendices to include reports and other supporting documents
• ESG grantees are required to complete the CR-60, CR-70 and CR-75 screens
• Sage
  – Beginning October 2017, recipients may submit accomplishment data in Sage HMIS Repository
  – CR-65: Recipients now leave blank (now reporting this data in Sage)
  – CR-00: Recipients upload the Sage report as an attachment (PDF)
CAPER and ESG Resources

- Guidance on the ESG requirements for the CAPER:

- ESG CAPER CSV Export Submission Steps for ESG Subrecipients:
CAPER Must Do’s

Complete checklist before creating CAPER:

- Ensure AAP is marked as “Review Complete”
- Enter all amendments in IDIS, submit and ensure marked as “Review Complete”
- Ensure AAP includes correct projects (associated with activities AND correct PY)
- Enter all accomplishment data in IDIS
- Use micro-strategy reports prior to creating CAPER
CAFER Must Do’s

If you have already created your CAFER template:

• Do not create a new CAFER Template
  – Use Con Plan Goals and Accomplishments Report and other IDIS Reports to gather requisite data
  – Manually enter data into Con Plan template
Troubleshooting Common Issues

- Issue: accomplishment data includes accomplishments not associated with a goal

  - Solution: This may be due to accomplishments being realized from a prior year and/or activities being associated with a matrix code that differs from the Goal Outcome Indicator. To correct this, you can manually adjust the accomplishment information in the CAPER.
Troubleshooting Common Issues

• Issue: Not all accomplishment data appearing in the CAPER

• Solution: This is likely because the CAPER was created before the accomplishment data was entered in the Activity screen. Once accomplishment data is entered in IDIS, you can run the Con Plan MicroStrategy Report to see updated tables and manually adjust the CAPER.
Troubleshooting Common Issues

• Issue: Activities from prior Con Plans are not appearing

• Solution: Accomplishments from activities created prior to the current Con Plan will not automatically appear in the CR-05 screen. You must manually add them to the accomplishments table.
• Please submit any questions you have via the Questions pane.

• If you submit questions that are not answered, please submit them to the HUD Exchange Ask-a-Question