



# Preparing for the CAPER

July 29, 2020



# Introductions

## Presenters

- Ben Sturm, The Cloudburst Group
- Rob Sronce, The Cloudburst Group

## HUD

- Gloria Coates, OBGA



# Housekeeping

## Logistics:

- 60-minute webinar
- All lines are muted
- Submit technical issues through WebEx “Question” toolbar
- Close email and other programs on your computer

## Asking questions:

- There will be periodic pauses to discuss questions
- Submit questions through WebEx “Question” toolbar

## Materials:

- To be posted on the HUD Exchange
- Slides, transcript, recording



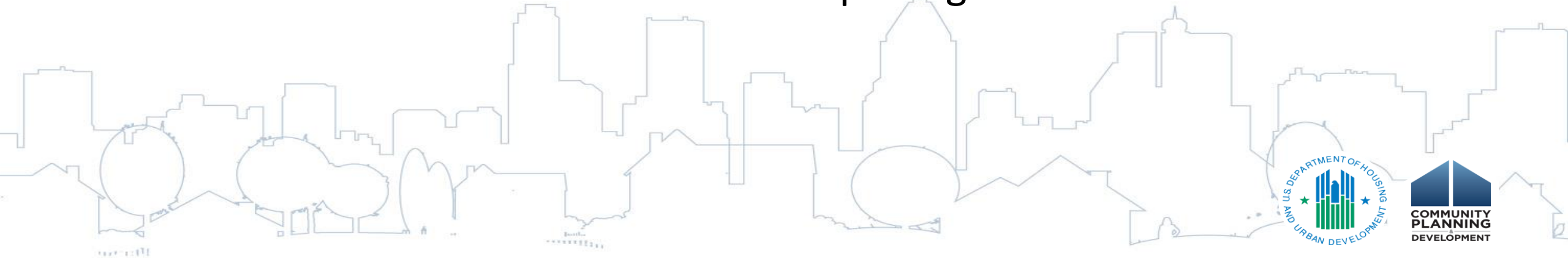
**This webinar is made possible by**



# Session Objectives

During this webinar, you will learn to answer these questions:

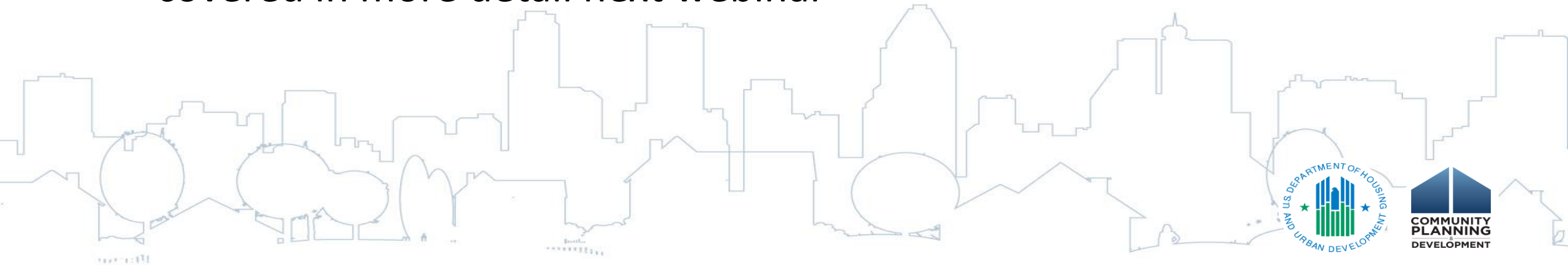
1. Who needs to complete a CAPER?
2. How do accomplishments get reported in the CAPER?
3. How can I prevent problems or errors in the CAPER in IDIS?
4. Where can I find instructions on completing the CAPER?



# Agenda

## What this webinar covers

- First webinar of two. This webinar will cover everything before creating the CAPER template
- The next webinar will cover completing the CAPER
- How CV-funded projects will populate in CAPER will be covered in more detail next webinar



# Agenda

1. CAPER Basics
2. CAPER- Annual Plan Association
3. Goals and Accomplishments
4. Reports
5. CAPER and ESG
6. Troubleshooting Common Issues
7. Question and Answer & Available Resources



# CAPER BASICS





# CAPER Basics

CAPER = Consolidated Annual Performance and Evaluation Report

Report and assess the progress made towards achieving **strategic plan and action plan goals**

**Note:** State PER included in CAPER in IDIS



# CAPER Basics

## CAPER Data

- Progress, Goals vs. Outcomes
- Beneficiaries
- Resources Made Available/  
Investment of Resources
- Geographic Distribution/Location  
of Investment
- Actions to Affirmatively Further  
Fair Housing
- Other Actions
- Affordable Housing
- Homelessness
- Program-Specific



# CAPER Basics

Grantees required to complete an **Annual Action Plan** must submit their own CAPERs.

**All Consortia grantees** (lead and non-lead) are responsible for their own CAPERs.

Each grantee must:

- Create its own CAPER template
- Enter and submit its own CAPER in IDIS



# CAPER Basics

The CAPER is due to HUD 90 days after close of program year\*

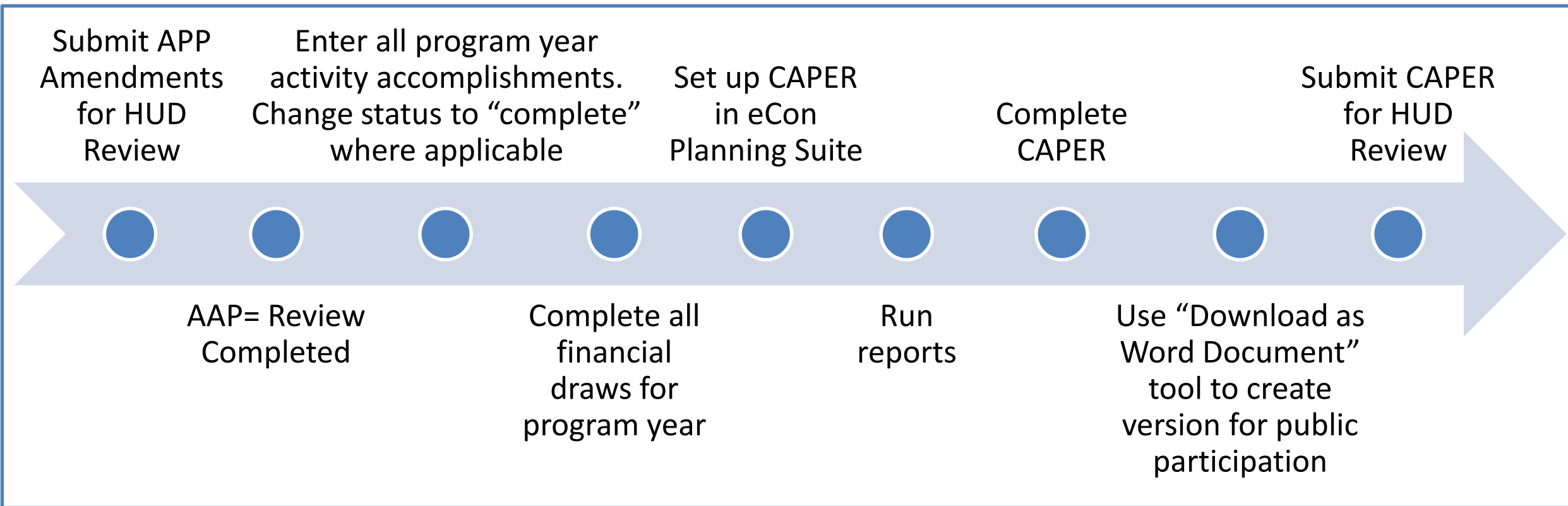
\*Program year **2019 CAPERs** due within **180 days** of the close of a jurisdiction's program year.

***Memo May 18, 2020:** Availability of a Waiver and Alternate Requirement for the CAPER for CPD Grant Programs in Response to the Spread of Coronavirus*



# CAPER Basics

## Timeline



# CAPER – ACTION PLAN ASSOCIATION



# CAPER – Action Plan Association

CAPER associates with **most recently approved** Annual Action Plan  
Plan association formed at CAPER setup

Results Page 1 of 1					
Grantee Name	State	Year	Version	Title	Status
Asheville	NC	2016	2016	2016-17 Annual Action Plan	Review Completed

“Submitted for Review” status won’t link to CAPER

Results Page 1 of 1					
Grantee Name	State	Year	Version	Title	Status
FORT MYERS	FL	2019	5th	PY 2019 CARES Act Amendment	Submitted for Review



# CAPER – Action Plan Association

**Can't** change plan association once CAPER is created.

**Can** create new CAPER after plan approved.\*

**\*Caution:** Two versions of CAPER will exist!  
Complete and submit correct version.

Associated AAP



### CR-00 - Administration

Save | Save and Return | Cancel

Program Year:\* 2019

Title: City of Dover CAPER

Version:\* 1

Programs included:

- CDBG
- HOME
- HOPWA
- ESG

AAP Plan Year: 2019

AAP Title: City of Dover Action Plan

AAP Plan Version: [2020-04-22 11:33]



# CAPER – Action Plan Association

To find CAPER plan association:

- Check plan version in AD-26
- If Amendment, see “Download a Previous Version”

**Annual Action Plan**

Setup  
AD-26 Administration  
AD-50 Verify Grantee/PJ Information in IDIS  
AD-55 Verify Grantee/PJ - Program Contacts

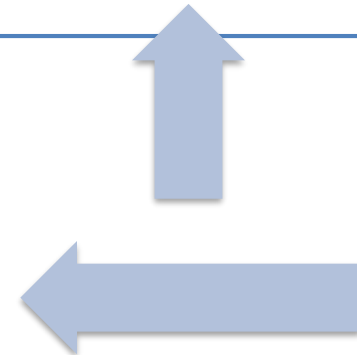
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Status:

Status changed on: Tue, Aug 14 2018 at 12:29:34 PM EDT

[Click to Download Version Created on \[2020-04-22 11:33\]](#)

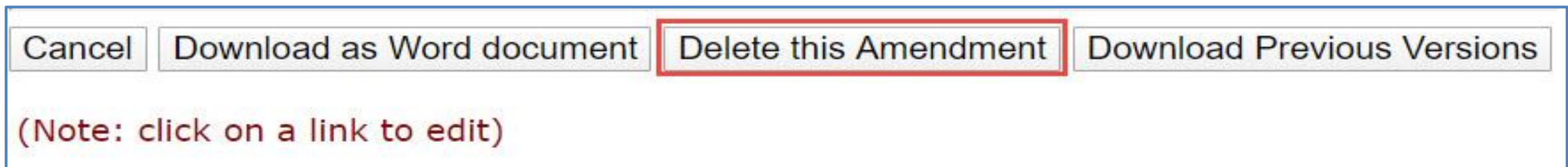
(Note: click on a link to view)



# CAPER – Action Plan Association

“Delete this Amendment” can discard changes and restore previous AAP to “Review Completed”

Option ONLY available for “Open-Amendment” or “Reviewed and Waiting Modifications” plan status. “Review Completed” plan cannot be deleted



**Note:** The “Delete this Amendment” button not available for Consolidated Plan amendments.



# GOALS AND ACCOMPLISHMENTS



# Goals and Accomplishments

IDIS Activities should be aligned with **Projects** and **Goals**

Use same “Goal Outcome Indicators” (GOIs) in Activities-> Projects-> AAP Goals-> Con Plan Goals

See Appendix B of the *eCon Planning Suite Desk Guide*



## APPENDIX B: GOAL OUTCOME INDICATORS

### GOAL OUTCOME INDICATOR DESCRIPTIONS

**1. Public facility or infrastructure activities other than low/moderate-income housing benefit**

Use this GOI for any CDBG-funded public facility or infrastructure project or activity that will not use Low-Mod Housing (LMH) as its national objective. Examples include street improvements or park improvements that use Low-Mod Area (LMA) or homeless shelters or senior centers that use Limited Clientele (LMC).

**2. Public facility or infrastructure activities for low/moderate-income housing benefit**

Use this GOI for any CDBG-funded public facility or infrastructure project or activity that will use Low-Mod Housing (LMH) as its national objective. Use this GOI when the grantee supports large housing developments with infrastructure improvements tied directly to the development.

**3. Public service activities other than low/moderate-income housing benefit**

Use this GOI for any CDBG-funded public service project or activity that will not use Low-Mod Housing (LMH) as its national objective. Most public services will use this GOI. Examples include youth services or senior services that use Limited Clientele (LMC) or anti-crime programs that use Low-Mod Area (LMA). Use this code for HOPWA-funded activities including Housing Information Services, Permanent Housing Placement, and Supportive Services.



# Goals and Accomplishments

## Activity Setup

Goal Outcome Indicators  
(GOIs)

based on Activity Category/  
Matrix Code

Don't see correct  
Accomplishment GOI?  
*Change the Matrix Code!*

Activity	
Program	*Activity Category ⓘ
CDBG	♦ Is this activity to prevent, prepare for, and respond to coronavirus?* <input checked="" type="radio"/> No <input type="radio"/> Yes ♦ Does this activity use Section 108 loan? <b>No</b> <input type="button" value="Change answer"/> 14A - Rehab; Single-Unit Residential
ESG	None
HOME	None
HOPWA	None
HESG	None
HOPWA-C	None
HTF	None <input checked="" type="checkbox"/>
<input type="button" value="Activity Funding"/>	<input type="button" value="Cancellation With Draws"/>

Proposed Accomplishments	
*Accomplishment Type	
10 - Housing Units	<input type="button" value="Change Accomplishment Type"/>



# Goals and Accomplishments

## Consolidated Plan Goals

Year 1

Year 1 AAP

Year 1 CAPER

Year 2

Year 2 AAP

Year 2 AAP  
Amendment 1

Year 2 CAPER

Year 3

Year 3 AAP

Year 3 CAPER

Year 4

Year 4 AAP

Year 4 AAP  
Amendment 1

Year 4 AAP  
Amendment 2

Year 4 CAPER

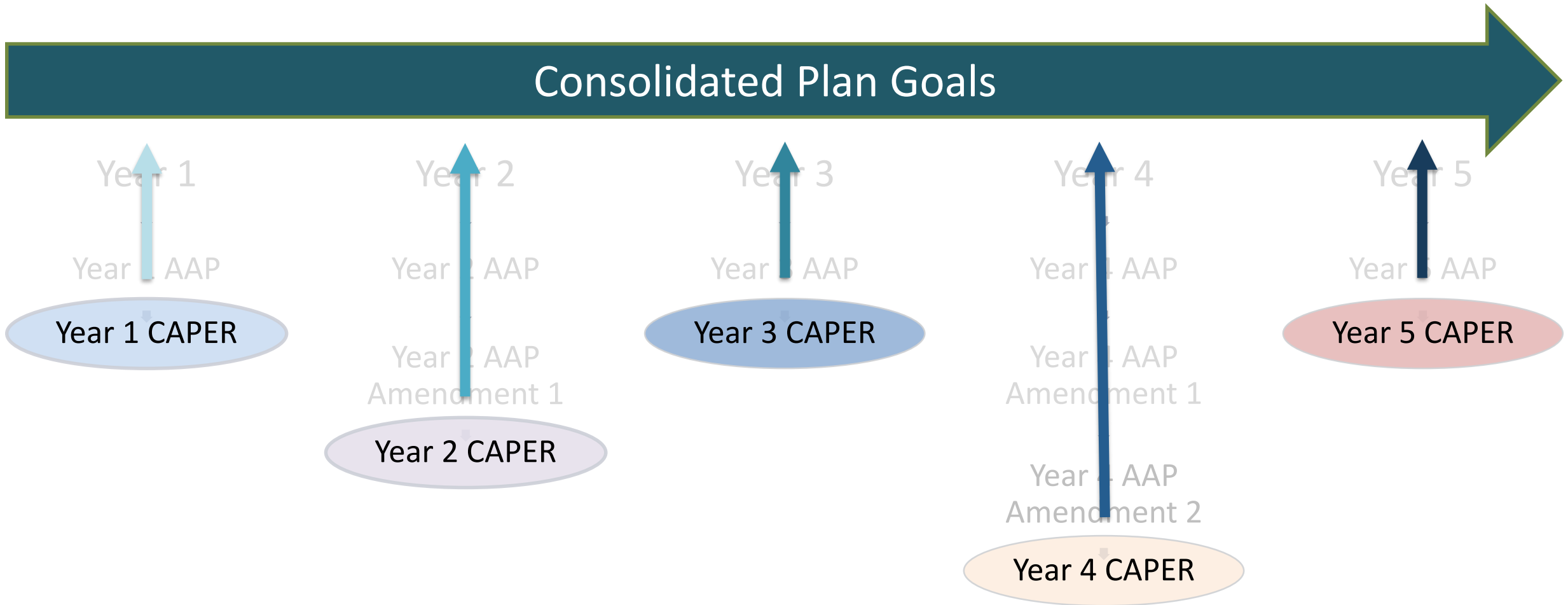
Year 5

Year 5 AAP

Year 5 CAPER



# Goals and Accomplishments

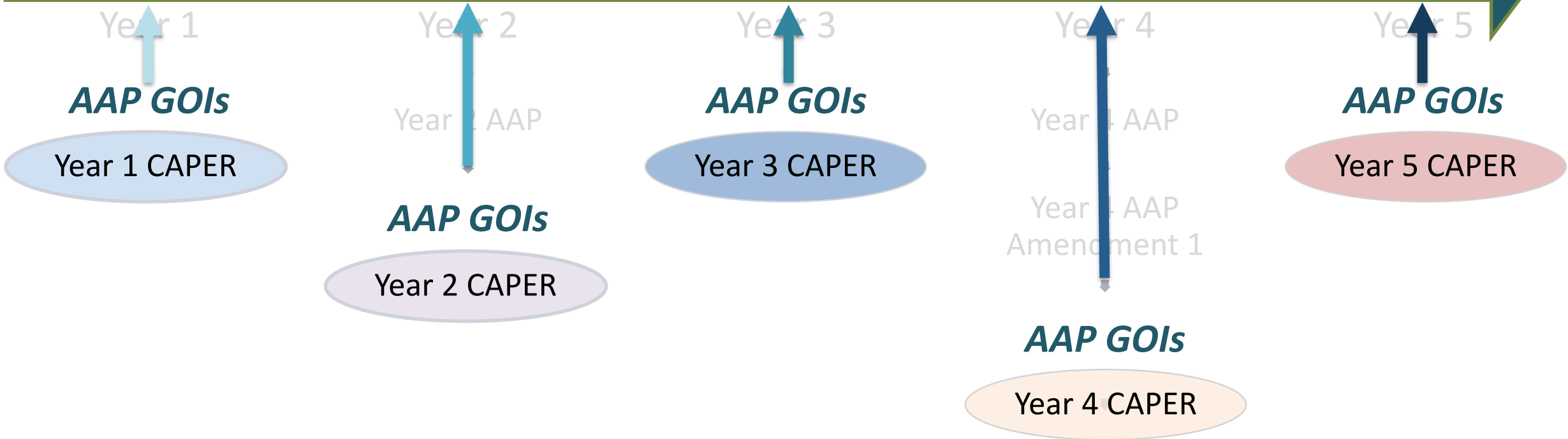


The CAPER matches **accomplishments** with Consolidated Plan **goals**.



# Goals and Accomplishments

## Consolidated Plan Goals *Goal Outcome Indicators (GOIs)*





# Goals and Accomplishments

**Unit of Measure =  
Household Housing Units**

**Goal = Improve Housing Stock  
GOI = Homeowner Housing Rehabilitated**

**Household  
Housing Units**

Year 1 CAPER

**Household  
Housing Units**

Year 2 CAPER

**Household  
Housing Units**

Year 3 CAPER

**Household  
Housing Units**

Year 4 CAPER

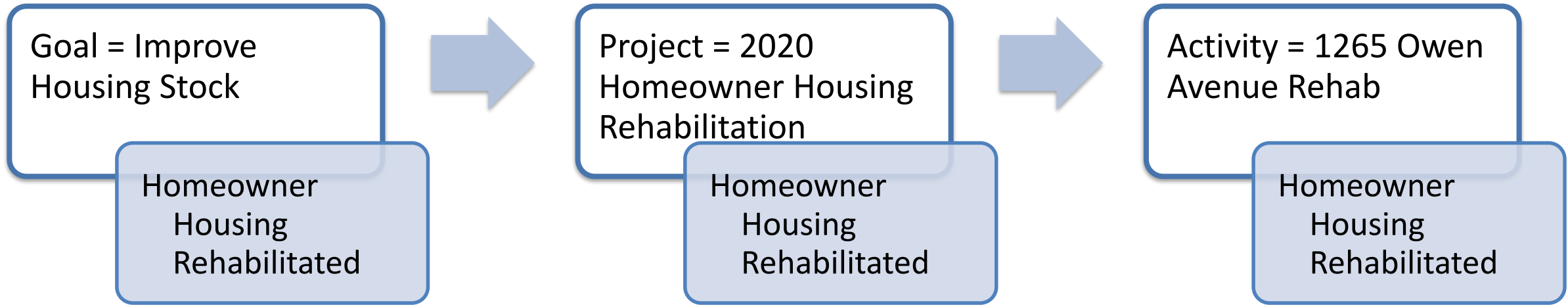
**Household  
Housing Units**

Year 5 CAPER



# Goals and Accomplishments

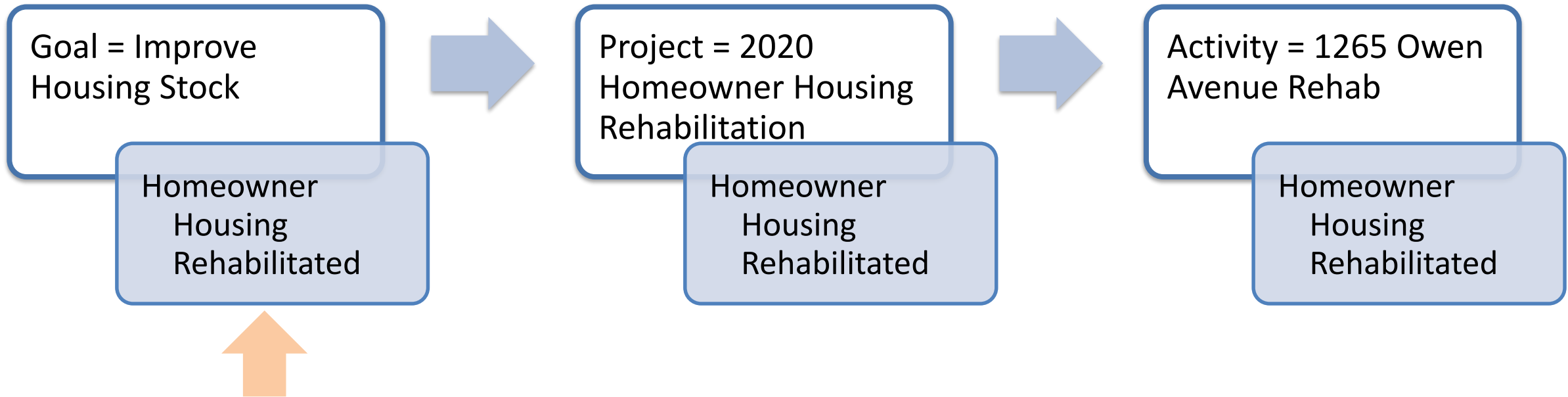
## IDIS/eCon Planning Suite



### **10. Homeowner housing rehabilitated**

Use this GOI for any HOME- or CDBG-funded activity that rehabilitates existing owner-occupied units.  
Use this GOI for any project involving the reconstruction of owner-occupied units.

# Goals and Accomplishments

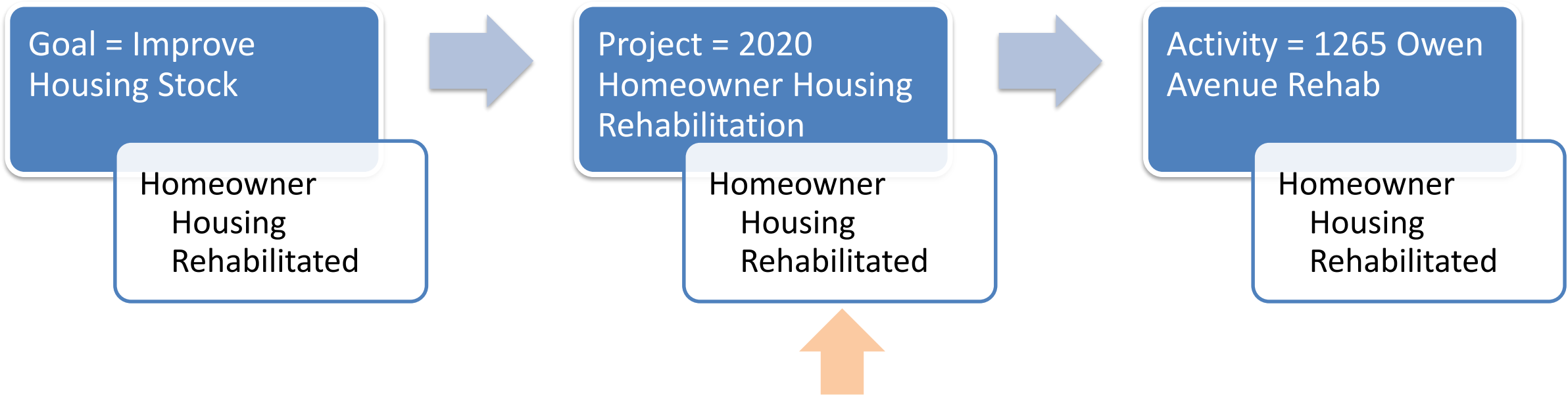


Goals:

Sort*	Goal Name
1	Expand Affordable Housing
2	Owner Occupied Housing Rehabilitation



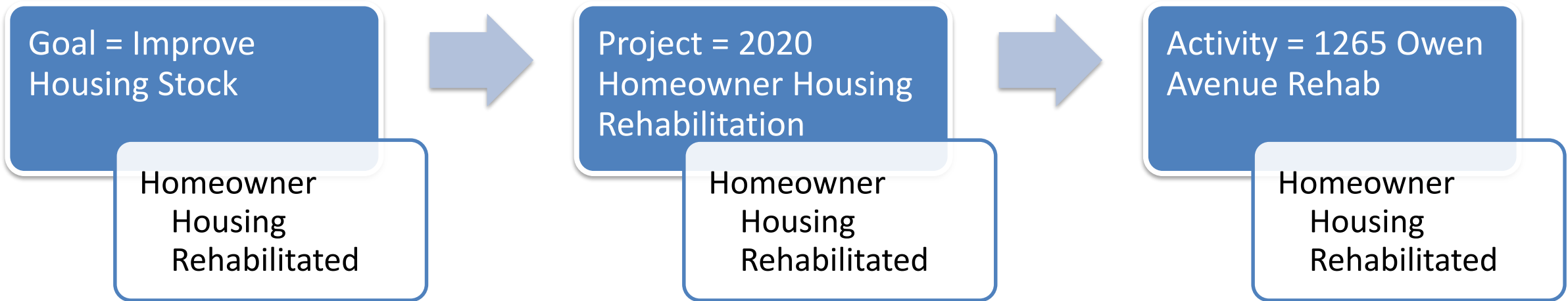
# Goals and Accomplishments



Annual Goals Supported	
Expand Affordable Housing	<input type="checkbox"/>
Owner Occupied Housing Rehabilitation	<input checked="" type="checkbox"/>



# Goals and Accomplishments



Activity	
Program	*Activity Category ⓘ
CDBG	♦ Is this activity to prevent, prepare for, and respond to coronavirus?*
	♦ Does this activity use Section 108 loan? <b>No</b> <input type="button" value="Change answer"/>
	14A - Rehab; Single-Unit Residential <input type="button" value="v"/>

<b>*National Objective:</b>	
LMH - LOW/MOD HOUSING BENEFIT	<input type="button" value="Change National Objective"/>
<b>Proposed Accomplishments</b>	
<b>*Accomplishment Type</b>	
10 - Housing Units	<input type="button" value="Change Accomplishment Type"/>



# REPORTS



# Reports

Before creating CAPER:

Run ***Con Plan Goals and Accomplishments Report***

- Available in IDIS Reports tab (MicroStrategy Reports)
- Lists accomplishment information:
  - Associated with one SP/AAP Goal
  - Associated with multiple SP/AAP Goals
  - Not associated with an SP/AAP Goal



# Reports

## Con Plan Goals and Accomplishments Report

### Accomplishments Associated With a Single Strategic Plan Goal

Goal	Category	Funding Source & Amount	Outcome Indicator	Outcome Unit of Measure	Outcome Expected - Strategic Plan	Outcome Actual - Strategic Plan	Percent Complete	Outcome Expected - Program Year	Outcome Actual - Program Year	Percent Complete	
Economic Development	1	Non-Housing Community Development Economic Development	CDBG: \$	Facade treatment/business building	Business	25	1	4.00%	5	1	20.00%
				Homeowner Housing Rehabilitated	Household Housing Unit	0	0		0	0	
				Jobs created/retained	Jobs	25	7	28.00%	5	7	140.00%
				Businesses assisted	Businesses Assisted	50	7	14.00%	10	7	70.00%
				Housing Code Enforcement/Foreclosed Property	Household Housing Unit	10	0	0.00%	2	0	0.00%
Neighborhood Stabilization and Housing	2	Affordable Housing Public Housing Homeless Non-Homeless Special Needs	CDBG: \$ / HOME: \$	Rental units constructed	Household Housing	2	0	0.00%	1	0	0.00%
				Rental units rehabilitated	Household Housing	50	0	0.00%	10	0	0.00%
				Homeowner Housing Added	Household Housing Unit	7	48	685.71%	1	48	4,800.00%
				Homeowner Housing Rehabilitated	Household Housing	100	60	60.00%	22	60	272.73%
				Direct Financial Assistance to Homebuyers	Households Assisted	400	0	0.00%	75	0	0.00%
				Other	Other	75	0	0.00%	75	0	0.00%
Community Development	3	Non-Housing Community Development	CDBG: \$	Public Facility or Infrastructure	Persons Assisted	45000	34010	75.58%	9000	34010	377.89%
				Public service activities other than Low/Moderate Income Housing Benefit	Persons Assisted	100000	8065	8.07%	20000	8065	40.33%





# Reports

## Other useful reports for CAPER

- 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\*

\* These reports are helpful, but not required for CAPER.



# CAPER AND ESG



# Caper and ESG

## ESG Grantees

- Must complete CR-60, CR-70 and CR-75
- Sage
  - Beginning October 2017, recipients should submit accomplishment data in Sage HMIS Repository
  - CR-65: Leave blank (now reported in Sage)
  - CR-00: Upload Sage report as attachment (PDF)



# Caper and ESG

## CAPER and ESG Resources

- Guidance on ESG requirements for CAPER:

<https://www.hudexchange.info/programs/sage/esg-caper/#guides-and-tools>

- ESG CAPER CSV Export Submission Steps for ESG Subrecipients:

<https://www.hudexchange.info/resource/5669/esg-caper-csv-export-submission-steps-for-esg-program-subrecipients>



# COMMON ISSUES & MUST DO'S



# Common Issues

<b>Issue</b>	<b>Solution</b>
Not all AAP amendments have been submitted	Use the “Amend” link, complete and submit amendment to HUD
Latest AAP is not marked as “Review Completed” in IDIS	Contact your HUD Field Office to ensure the plan is marked as “Review Completed” before creating the CAPER template
GOI Unit of Measure in the latest AAP is different than the one used in the Consolidated Plan	Amend the relevant plan to align GOIs and associated Unit of Measure in AAP and associated Con Plan. (Options: Minor Amendment vs CR-05 Screen)
GOI Unit of Measure in Projects is different from the AAP	Amend the AAP to adjust the AP-35 Projects or the AP-20 Goals screen to align the GOI to match the Strategic Plan GOI



# 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



# Must Do's

If you have already created your CAPER template:

Do not create a new CAPER Template

- Use Con Plan requisite data
- Manually enter Goals and Accomplishments Report and other IDIS Reports to gatherer data into Con Plan template





# RESOURCES



# Resources

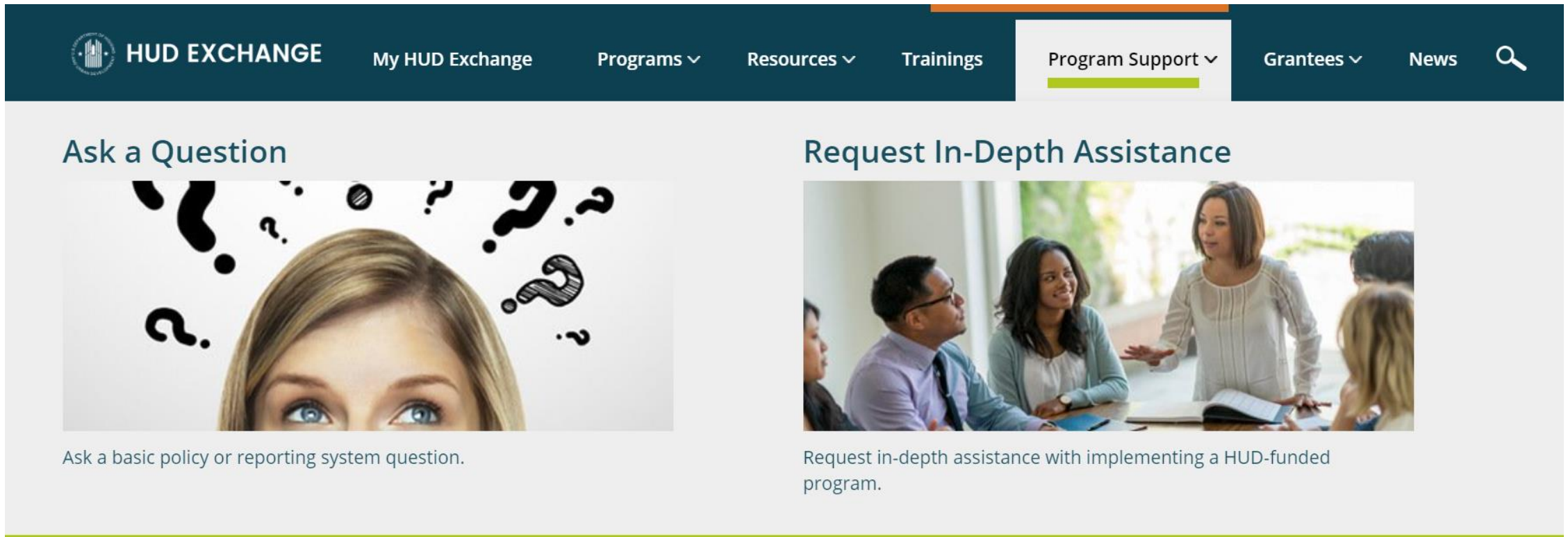
## HUD Exchange Resources

- [Quick Guides](#)
  - Creating a CAPER for All Grantees
  - Amending the Consolidated Plan & Annual Action Plan
  - Creating a Consolidated Plan
  - Creating a Year 2-5 Annual Action Plan
- [Consolidated Plan Desk Guide](#)
- [ESG CAPER Guidebook](#)



# Resources


## Ask a Question



The screenshot shows the HUD Exchange website interface. The top navigation bar is dark teal with white text and icons. The 'HUD EXCHANGE' logo is on the left, followed by 'My HUD Exchange', 'Programs', 'Resources', 'Trainings', 'Program Support' (highlighted with a green underline), 'Grantees', and 'News'. A search icon is on the far right. Below the navigation bar, the main content area is light gray. On the left, there is a section titled 'Ask a Question' with a large image of a woman's face looking up with question marks floating around her head. Below the image is the text 'Ask a basic policy or reporting system question.' On the right, there is a section titled 'Request In-Depth Assistance' with a large image of a group of people in a meeting. Below the image is the text 'Request in-depth assistance with implementing a HUD-funded program.'


HUD EXCHANGE My HUD Exchange Programs Resources Trainings Program Support Grantees News

### Ask a Question



Ask a basic policy or reporting system question.

### Request In-Depth Assistance



Request in-depth assistance with implementing a HUD-funded program.

# QUESTIONS AND ANSWERS



# Questions and Answers

Submit questions via Questions pane

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

