Transcript for Preparing for the CAPER Webinar (07/29/2020)

Rob Sronce: At the top of the hour we're going to talk about how you can prepare for creating your CAPER in IDIS. We will have some time for questions and answers. That's why we're starting promptly on time, so we can make sure we have enough time for you.

My name is Rob Sronce with The Cloudburst Group and I am joined today by my colleague, Ben Sturm.

He's a familiar voice for those of you who have attended past webinars or had the pleasure of him answering your AAQ, your Ask-A-Question, and he has contributed to many of the eCon Planning resources that you find on the HUD Exchange. Hello, Ben.

Benjamin Sturm: Hi, everyone. Thank you, Rob, for the wonderful introduction.

Rob Sronce: You bet. Before we do get started, I want to review a few things about the webinar and some housekeeping. First, this is scheduled for one hour, it may run a little longer if we have a lot of Q&A. So, we thank you for your patience, but again, we'll try to respect the hour.

If you need to step away, please know as we've had already asked, the session will be recorded, and posted on the HUD Exchange along with the slides, and the transcript. And that usually takes about a week, to seven, to ten days.

Also, we do have time set aside to take your questions; I should note that all questions will be handled through the WebEx Q&A pod. So, by default, this pod, as they call it, can be hidden in the WebEx app; or the browser version, if you're using that.

So you want to go over to the – usually it's around the top right-hand corner and you'll see the Q&A, like, a little button there that you can open up the Q&A pod. That's where we'll be taking your questions.

Please enter your questions as you have them, and we'll grab them, and queue them up, and answer as many as we can. So that's how we'll do our Q&A is to put them into the Q&A pod. And we have folks in the background who will be grabbing them and logging them.

And we'll answer those at the end of the session today. If for some reason we're not able to get to your question, and it's really important that you get it answered, please submit it through the HUD Exchange Ask-A-Question for the eCon Planning Suite.

Let's see, also note that all participants are muted by default. If you need help with WebEx or have technical issues, please chat at the host. The host is available to help you with those issues, so please chat at the host. That's through the chat pod, so that's the chat and the Q&A.

And one last thing, if you would like to change your audio settings from phone to computer, please be sure to click on the Quick Start menu at the top left of your WebEx screen, and then go to the audio conference section. You can switch the selection from phone to audio.

That's it. This webinar is made possible as part of HUD technical assistance through HUD CPD, Community Planning and Development. Special thanks to them.

And, Ben, would you like to go over the objectives for today? And I'll pass this off to you.

Benjamin Sturm: Okay thanks, Rob.

Rob Sronce: You bet.

Benjamin Sturm: By the end of today's webinar, we hope everyone will be able to answer some key questions about the CAPER. And what are these questions? Well, we're going to go over today: Who needs to complete a CAPER? How do accomplishments get reported in the CAPER? How can I prevent problems or errors in the CAPER in IDIS? And finally, where can I find instructions on completing the CAPER?

Rob Sronce: Right.

Benjamin Sturm: So those are our primary objectives and let's look at the agenda. I think it's important to note, this is going to be the first of two webinars. This webinar will really cover everything before creating the CAPER template.

And the next webinar which we will plan to schedule sometime in, probably the latter half of September, will cover completing the CAPER. That will look at actually creating the CAPER template, and looking at the key screens in the CAPER, and also the reports that would be submitted with the CAPER.

So that will all be covered in September. I think the big reason why we're doing the breakup this year is because there are certain things that grantees really need to consider before they create their CAPER, such as the alignment of goals, projects, Goal Outcome Indicators, and activities.

And there are a lot of things to look at in order to make sure that your CAPER populates correctly. What we will not be really looking at for this one. We're going to be keeping today's session, basically covering basic CAPER information, and how it links to the Annual Action Plan.

We'll look at how goals and accomplishments should be entered before creating the CAPER and how these relate to Goal Outcome Indicators. We'll also review reports, ESG requirements, and finally, how to troubleshoot common issues with the CAPER that can be prevented before even creating the CAPER template.

So, at the end of the session we'll be answering your questions and point you to additional resources. What won't be covered today is, we're not going to be talking much about how the CARES Act or CV funding will be impacting the CAPER.

This guidance will come out later on and that will be covered in a future webinar. So those are things that we just don't know at the time how that's going to impact the CAPER. So, we're really going to be focusing on the regular CAPER as you have known it to be.

Rob Sronce: Great thanks, Ben. So, we'll be talking about the basics in addition to getting into some more of the details of the CAPER. And I see some questions coming in, please feel free to go ahead, and keep submitting those questions.

And we'll answer them at the end. So, you want to go through this agenda here, Ben?

Benjamin Sturm: Yeah well, I think I covered a lot of on the agenda before I actually advanced the slide. So, let's go ahead and jump to CAPER.

Rob Sronce: Alright. Alright so we'll talk about what's a CAPER? Who needs to complete it?

Benjamin Sturm: Alright so the CAPER stands for the Consolidated Annual Performance and Evaluation Report. And its purpose is to report and assess the progress made towards achieving Strategic Plan and Annual Action Plan goals.

It records different types of data such as progress, goals versus outcomes, beneficiaries, assisted resources made available or invested, actions taken to address fair housing and affordable housing actions. It touches on the homelessness and other program specific data.

So, an important question that, Rob, you asked is who creates the CAPER? Each grantee is responsible for creating and submitting their own CAPER. This also includes participating members of a HOME consortium.

So those of you that are part of our HOME Consortium, and you're a participating member, you may recall that when it comes to the Consolidated Plan and Annual Action Plan, only the lead entity can create, and submit those plans.

However, with the CAPER, this is the one time in IDIS that you can create the template. Both the lead entity and the participating members of a consortium can and should create their own CAPER template.

So usually, the CAPER is due to HUD to be submitted through IDIS 90 days after the close of the grantee's program year. So, if your program year ends June 30th, then usually by the end of September, the CAPER would be due.

Now however, this year, in light of the coronavirus pandemic, HUD has extended this deadline to 180 days for program year 2019 CAPERs. What that means is for your 2019 CAPER, it is now due within 180 days of the close of your 2019 program year rather than the normal 90 days.

Rob Sronce: Okay, you want to walk us through the timeline here?

Benjamin Sturm: Yeah.

Rob Sronce: Yeah.

Benjamin Sturm: So, the timeline starting from the beginning, grantees, so you submit your Annual Action Plan amendments for HUD review. Once the Annual Action Plan is marked as review completed, then grantees would enter in program year activity accomplishments in the activity section of IDIS.

For CDBG and HOME activity accomplishments, for CDBG accomplishments are reported as they occur; and for HOME, in order for the HOME accomplishments to be recorded in the CAPER, the activity status would need to be changed to completed.

Also prior to creating the CAPER, all financial draws for the program year should be completed. Once these actions have taken place the grantee can then set up the CAPER in the eCon Planning Suite.

There are certain reports that can be run to assist grantees in looking at their data and the financial pieces that generate in the CAPER: i.e., there are also reports that are mandatory and must be submitted with the CAPER such as the PR26 and PR28 Financial Summary Reports.

When grantees complete the CAPER, again for 2019 CAPERs, this would be within 180 days of the close of your program year. You would submit the CAPER to HUD in IDIS. You can also use the download as Word document tool to create a version for your public participation.

And once you complete your – I got us a little ahead of myself with the steps. When you do go for your public participation and your public comment, after that is completed, you then will submit your CAPER to HUD in IDIS.

Rob Sronce: Great thanks, Ben. So, in summary, CAPERs really help HUD grantees tell their story to HUD, Congress, and the public. And everyone that needs to – every grantee who has submitted an Action Plan must submit a CAPER.

Most years, grantees will have 90 days. This year we have an additional 90 days and that's available for all grantees. Make sure you're communicating with your field rep about when they can expect to have that when you're planning on submitting it.

But they are not due until 180 days after the end of your program year for our program year 2019.

So, moving along here, Ben, we've talked about how for every Action Plan there is a CAPER. How do we know which Action Plan a CAPER is connected to? Can we change that? What if we create a CAPER in error or we want to start over with a new version?

Benjamin Sturm: A good question, Rob. It's important to know, and this is, again, why we're doing this Preparing for the CAPER Webinar. Because once a CAPER is created, it cannot be deleted, nor can its association be changed to another Action Plan.

So, it's really important that grantees take the necessary steps to avoid errors. First, the CAPER associates with the most recently approved Annual Action Plan. What this means is that the Action Plan must have been marked as review completed by HUD in order for the CAPER to generate from it.

So, the CAPER is not going to generate from any Action Plan that is either still open in progress; or if it is still in the status of submitted for a review, or a review, and awaiting modifications.

Rob Sronce: Okay. So, we need to be careful about editing and submitting the correct version of the CAPER. We also need to be sure that the Action Plan is in status review completed, correct?

Benjamin Sturm: Correct. One additional thing to note, with the new amendment feature that came out in December 2019, a plan can be reopened as an amendment. So, it will be given the status of open amendment.

Each time the plan is opened as an amendment, the system will create a backup copy of that previous version, which can be downloaded as a Word document. So, the system can create a CAPER based off of this previous version.

So, grantees may be saying, "Well, but my Action Plan, when it was submitted, it was marked as review completed." But then we have to reopen it, particularly for our CARES Act amendment."

And it's still in the status of review completed or review and awaiting modifications. Does that mean we cannot create our 2019 CAPER?

Not necessarily, what will happen is the system can create your CAPER and it will just associate itself with the last version of the 2019 Action Plan that was marked as review completed.

So, anything that was added to that amendment version will not be included in the CAPER, but at least the CAPER will still create – the system will still create a 2019 CAPER based off of the originally approved Action Plan.

Rob Sronce: Great, thank you. That's helpful. There are a lot of great questions coming in, keep submitting those. I do want to note that to the extent that they diverge from our topic today, or deal with policy questions, or things beyond creating and preparing for your CAPER, we will not be able to answer them.

Please connect with your HUD representative on those. And then also, thanks for the questions. I can see that you are tracking along with us. That's great.

So, we all know from creating the five-year Con Plan and the Annual Action Plan that the CAPER is reporting the grantees' annual progress against their goals. So how does IDIS make the connection between the goals, and our Con Plan, Annual Action Plan, and accomplishments at the activity level? How does that happen in IDIS?

Benjamin Sturm: So, it's very important that IDIS activities be aligned to projects and goals; the project and the associated Annual Action Plan, and the goals in the associated Action Plan, as well as the strategic goals, and the associated Consolidated Plan.

First, the grantee should double check that the activity is associated to that same project ID that is listed on the AP-35 screen in the Action Plan. That's how the activities get tied to the goals that are populated in the CAPER. Really that project is the bridge that connects the IDIS activity to the annual goals in the Action Plan.

Second, grantees should also ensure that the Goal Outcome Indicator, or GOI, for the project was used for the annual and strategic goals. So, make sure that you are using the same Goal Outcome Indicators.

So, you look back at your Action Plan and make sure that the same Goal Outcome Indicator for your project is listed on your annual goal. And then look at the associated Con Plan that goes with strategic goals section and make sure that Goal Outcome Indicator was selected for the associated strategic goal as well.

Rob Sronce: Yeah so Appendix B, that's very important to remember that; and go to the Appendix B of the eCon Planning Suite Desk Guide.

Benjamin Sturm: Yeah.

Rob Sronce: Right. That's helpful.

Benjamin Sturm: And finally, grantees, they need to confirm that the activity's matrix code for CDBG activities, or the HOME activity type for HOME activities matches the suggested pairing of the project's Goal Outcome Indicator in the Action Plan.

And Rob, I think I cut you off, but you were, I think you were on track on bringing this, introducing this very helpful tool that grantees can use to make sure that the activity matrix code or type matches up with the Goal Outcome Indicator.

Sorry, I got a little stumbled there. But what this tool is, it's Appendix B of the eCon Planning Suite Desk Guide. It's the Goal Outcome Indicators.

What this appendix shows is, we have a snapshot of it on the PowerPoint here, but it also provides, it lists out a table that lists each Goal Outcome Indicator. And then it provides the suggested matrix code and HOME activity type pairings that should be selected for that Goal Outcome Indicator.

So, in the Strategic Plan and the Action Plan for each goal and for the projects, you're selecting the Goal Outcome Indicators. But in the activity level in IDIS you're selecting the matrix code, and each Goal Outcome Indicator has a suggested pairing of matrix codes that grantees should be creating their activities under.

And making sure that those matrix codes match up with the Goal Outcome Indicator is very important to ensure that the correct actual data in your CAPER populates for each goal that's listed in the CAPER.

Rob Sronce: Okay. So, is there anything that is, I guess, going to tell me if I get it wrong? It said I matched my Goal Outcome Indicator and my units of measure, the goals, and that I set up my activities correctly. Is there any indication anywhere that I've done it wrong?

Benjamin Sturm: No, unfortunately the system does not, in IDIS during the activity setup, the system does not give any warning, or any message that lets you know that, "Hey this activity is tied to a Goal Outcome Indicator." Or you're selecting the different matrix code then, or activity type than what's suggested for the Goal Outcome Indicator in the goals.

Unfortunately, the system doesn't tell you that. So, it's important for grantees to choose the right Annual Action Plan project and activity Goal Outcome Indicator.

And when you're looking at your activities, setting them up, or reviewing them, it's always useful to go back to your Action Plan, or your Con Plan, just to look back at that project or that goal; and see, okay, this is the outcome indicator that we selected, let's make sure that we're selecting the right matrix code.

And vice versa, you may look, when you're setting up your activities, you may realize, "Hey, we didn't select the right Goal Outcome Indicator during the initial creation of the Action Plan." You might then need to open up your plan for an amendment to adjust that and select the right Goal Outcome Indicator.

Rob Sronce: Okay. Okay so what does that look like? How can we diagram this?

Benjamin Sturm: Sure. So, the following slides are going to illustrate each year how the Action Plan connects to the CAPER.

So, we have the first year Action Plan, which, just to remind everyone, the first year Action Plan is located in your Consolidated Plan template. And when you create your Year 1 CAPER, that CAPER will associate to the Year 1 Action Plan and vice versa for each program year after that.

Now in Year 2, we throw in an amendment. So, you have your Year 2 Action Plan, and then you amended your Action Plan. And your Year 2 CAPER will associate to the Year 2 Action Plan amendment as long as that amendment was marked as review completed.

And let's move on, so the CAPER then matches the accomplishments with those Consolidated Plan goals. So, the Year 1 CAPER, if you had a 2019 Con Plan, then your 2019 Action Plan is in your Con Plan template, then your Year 1 CAPER will match up to the Action Plan in the Con Plan.

Or for your Year 2, if your Year 2 is 2019, if your 2019 Action Plan was a Year 2, your CAPER is going to match up to that 2019 Action Plan that's in the Annual Action Plan sub-menu; and the same with the Year 3, 4, and 5.

So how would Goal Outcome Indicators play into this? Each Annual Action Plan has their Goal Outcome Indicators and those will then be reflected in each year's CAPER.

So, for example, looking at the Year 1, you have improved housing stock as a goal. And then a Goal Outcome Indicator that was selected for that goal and for the associated projects was homeowner housing rehab.

So, your project would be a homeowner housing rehab project and you selected the GOI, homeowner housing rehab. The unit of measure associated with that indicator is household housing units. So that is the unit of measure that your IDIS activity will be using as well.

Rob Sronce: Okay. Alright now here we see the connection. How do activities, what we're doing at the activity level, and report at the activity level get to be reflected against the goal? This is through the project then, correct?

Benjamin Sturm: Yes, as long as the projects have only one Goal Outcome Indicator that match to one listed in the goal; so, you have your goal improve housing stock, homeowner housing and rehab.

The project is 2020 homeowner housing rehab, so the Goal Outcome Indicator selected for that was homeowner housing rehabilitated.

And then the activity also, the matrix code selected for this activity matched up with homeowner housing rehab. And that is how it connects to both the project and the annual goal.

Rob Sronce: There we go, okay. So that's at the project level and then next we have at the activity level the accomplishment type. And then you have the correct matrix code. So those all have to be correct, and working together, aligned. So, you have your activity associated with your project, your project is associated with your Action Plan, and they're all compatible.

I'm looking at Appendix B, and I'll see that they're compatible with each other. And they're all in the correct program year and Action Plan.

So, what if I have more than several activity types contributing to an annual goal, but the corrected Goal Outcome Indicator is different? Can I have more than one Goal Outcome Indicator for the same goal?

Benjamin Sturm: Yeah, you can have more. You can have multiple Goal Outcome Indicators for each goal. But the projects associated to that goal should really only have one outcome indicator that matches to the one listed within the goal.

Rob Sronce: Okay. Alright, well, Ben, moving along here, we've had some questions about this already. So, thanks, everyone, they're tracking along with us, asking the right questions at the right time.

So, Ben, I'm a big fan of MicroStrategy reports. You can see a ton of information in one place, they're great for troubleshooting. How can a grantee use his reports to check for CAPER errors or to see what's going on in there?

Benjamin Sturm: So, reports can be a great supplementary tool for the CAPER. It's important to run some of these reports before the CAPER to identify and rectify issues in the template.

Some of these reports, especially the Con Plan Goals and Accomplishments report can validate those recorded accomplishments and may highlight potential issues before the creation of the CAPER.

So, in IDIS you can go in, go to the reports tab. And if you go to shared review, shared reports, or view reports, or view shared reports – I forget exactly what the MicroStrategy options are for grantees.

But you can find this in the Reports tab, and you can run the goal, Con Plan Goals and Accomplishments Report at any time as long as you have an approved Action Plan in IDIS.

So, this is something that can be created before you create your CAPER. Actually, we encourage you to download the Con Plans, the Con Plan Goals and Accomplishments Report before creating your CAPER.

What it does, it generates a table that is very similar to the CR-05 screen in the CAPER, which is the screen that you report your expected accomplishments and your actual accomplishments. This report basically has the same components as those tables.

It's laid out a little differently, but the information in the content is roughly the same. So, this is what you can use to get a snapshot of how the CAPER will populate your data.

And if you notice any discrepancies in the report, then that's a pretty good indicator that something may not be setup correctly, either in your Action Plan, your Strategic Plan, or at the activity level in IDIS.

Rob Sronce: Great thanks, Ben. And we have resources on this report and other reports that are available on the HUD Exchange. And here are some of those other reports. So how are these helpful, Ben?

Benjamin Sturm: So, here's like, so this list includes some other reports that can be used, that can be helpful to run before starting the CAPER. These are not all required but may be helpful in updating the template.

And again, we'll be covering a lot more of these. We'll be covering these reports in a lot more detail in the next webinar held in September. But what some of these reports include are your CDBG Activity Summary, Status of HOME Activities, your PR26, and 28, the Financial and Activity Summary Reports; as well as the PR 33, the HOME Matching Liability Report, and the PR91 ESG Financial Summary Report.

Rob Sronce: Great thanks, yeah, a lot of helpful information in those. And if you're not a regular user of MicroStrategy, I really encourage it. There are resources on the HUD Exchange, we'll walk you through how to use MicroStrategy. There's actually a really great – it's a little bit dated, but it is a great video.

I think it's still up there. It will walk you through how to access reports. And some of them have changed a little bit over time, but it does a good job of walking you through the different ways that you can use MicroStrategy to get information.

And then you can download it into Excel, and analyze it, and manipulate it. Okay so CAPER new to ESG, it's different. Isn't it?

Benjamin Sturm: Yes, and I do know that I think there are some reporting changes. I think for the ESG CAPERs that may be going on, that I don't think we really have covered nor are very knowledgeable of that.

So, for ESG I'm just going to really focus on how it impacts the IDIS CAPER. So ESG grantees, even though you may have your own CAPER reporting through Sage or your own ESG CAPER, you're still required to complete certain screens in the IDIS CAPER.

The ESG specific screens are CR60, CR70, and CR75. So, these screens still should be completed. The CR65 is still in the template, however this screen should be left blank. Because back in 2017, recipients started using the Sage HMIS repository and that is where the beneficiary data is entered for ESG activities.

The Sage Report, the Sage system will print out a PDF document that lists out a lot of the accomplishment data. And recipients should upload that to the CR administration screen as an attachment.

Now, what grantees should also do with the IDIS CAPER, is the CR-05 screen will still need to be manually updated for both the expected accomplishments and the actual accomplishment for ESG goals.

Because ESG activities do not report accomplishments in IDIS, no data is going to populate in the CR05 screen.

Rob Sronce: Right.

Benjamin Sturm: However, the goals – the expected and the actual fields for ESG associated goals – that information still needs to be provided in your IDIS CAPER. So, it will be helpful for ESG recipients to work with their HMIS providers in identifying your actual data.

You should know what your expected data would be because you can go back to your Action Plans and your Strategic Plans to see what was entered for your Goal Outcome Indicators.

But for the actual data, that's where it would probably be helpful to work with your HMIS provider in looking at what the actual total beneficiary data that matches up to the Goal Outcome Indicators that were selected.

There are also some resources that recipients can go to for ESG. They are on HUD Exchange. And the report, the CAPER CSV export submission steps for ESG sub-recipients, this can be helpful for what may be needed for Sage.

Rob Sronce: Great, thanks, Ben. So please take advantage of the resources. And if you have questions about the CAPER Con Plan stage or ESG, there are Ask-A-Question desks for each those.

And speaking of AAQs, we know that everyone gets this right the first time and no one finds this at all confusing. They sort it out once a year, so yeah, they'll remember how to do this, right? No. So we do get a lot of questions about this.

And again, we'll take your questions at the end and take your Ask-A-Questions, please do submit those. But what are some of the greatest hits of Ask-A-Question? What are some helpful hints and some common issues, do's and don'ts, that grantees should be aware of?

Benjamin Sturm: So, I think, number one, make sure to use the Amend link to create amendments. You no longer use the copy feature to create amendments in IDIS. So yeah and, I guess, the number one issue was not all Action Plan amendments had been submitted.

So, you may have updated your Action Plan. And if that had not been submitted, but you created your CAPER, the CAPER would not reflect those new updates. If you want those updates to be reflected in your CAPER, make sure that you submit that amendment to HUD, and make sure you follow the new guidance for how to create an amendment. Because that has changed since, probably the last time that you did your CAPER.

Rob Sronce: And we did a webinar just a few months ago, so that's recorded and available for you on the HUD Exchange.

Benjamin Sturm: The second issue is the latest Action Plan may not be marked as review completed in IDIS. So, ensure that your Action Plan is marked as review completed before creating your CAPER, this goes for amendments as well.

And make sure any Action Plan amendments are submitted and marked as review completed before creating the CAPER template.

Now, Rob, I just want to point out; I know we didn't want to touch too much on anything CARES Act or CV related, but many grantees here may have created a CARES Act amendment. And it may be sitting in reviewed and waiting modification status right now.

And their 2019 CAPER may not be impacted at all by anything that was entered in the CARES Act amendment. So, going back to what we said earlier, the 2019 CAPER can still be created even if the 2019 Action Plan amendment, 2019 CARES Act amendment, is still in the status of reviewed and waiting modifications.

What will happen is the system will just create that CAPER based on the previous version that was already approved before the CARES Act amendment was made. So, anything that was added to the plan for CARES Act would not be included in that CAPER.

But for most grantees, that's probably okay because the 2019 CAPER should really just cover what was done during the 2019 program year. So, I just wanted to point that out.

But for most cases, make sure even if it's an amendment, if you want those changes that were included in the amendment to be reflected in your CAPER, make sure the status is marked as review completed.

Another common issue is the Goal Outcome Indicator unit of measure in the latest Action Plan is different than the one used in the Consolidated Plan. So, it's really important that you look back at your plans, and that you make sure that you've been using the same Goal Outcome Indicator across projects, Action Plans, and the Consolidated Plan.

If you find a report, or are looking at your plans, and notice that you have different GOIs in an Annual Action Plan than what was chosen for the Con Plan, then you may need to amend either the Action Plan or the Con Plan to make sure that your Goal Outcome Indicators match.

And the same goes for projects when matching the Goal Outcome Indicator: make sure that your Goal Outcome Indicator that you selected for a project matches up with the Goal Outcome Indicator for its associated goal.

When these don't match, then you know you're not – you're probably going to have an issue with how the data populates in your CAPER, and you'll want to correct that. To correct it, you will have to go back, and probably amend your Action Plan.

So those are some common issues, moving onto the must-dos. Here's a list of the things that you should be doing before you create the CAPER. And as we said, ensure it's marked as review completed, enter all amendments in IDIS, and submit, and ensure it is marked as review completed.

Make sure the Action Plan includes correct projects, enter all accomplishments in IDIS prior to, "Do you want to do this before creating your CAPER?" Because if you create your CAPER before your accomplishments are entered in IDIS, then those accomplishments are not going to auto populate in the CAPER.

And that's the neat thing about the CAPER. The CAPER, essentially it creates, it populates the data for you so that you don't have to go all the way back to all of your activities, and manually calculate your accomplishments.

But the only way to get it to auto populate is to make sure that you have your accomplishments entered in IDIS before you create your CAPER. The CAPER just does a one-time population of data, and that's upon initial creation.

If you populate your data – if you update your data in IDIS after creating your CAPER, the system is not going to automatically update your CAPER to reflect the new changes in data. So that's something that you would have to manually update then.

Rob Sronce: Right.

Benjamin Sturm: And to make sure you that your accomplishment data is looking accurate, go to MicroStrategy, and generate that Con Plan Goals and Accomplishments Report. That can be a very useful tool in getting an idea of what your accomplishment data looks like before you create your CAPER.

Rob Sronce: Alright, so remember these are things we need to do before we create our CAPER. Because I know if a lot of grantees make changes, and they've already created the CAPER and they make changes in the Action Plan, and what happened? Why is not showing?

Because it says, "snapshot," so you need to do these things before you create your CAPER, and get everything set up correctly, and get everything reported, and then create that CAPER in the system.

Benjamin Sturm: Yeah and just one more must-do to point out, and this is more of just, like, a general recommendation. It has been found that to avoid errors in the system or errors when you're doing your CAPER, it's best to have one CAPER for each program year.

So, if you've already created your CAPER template, we recommend not creating a new CAPER template. So, you may have created your CAPER before you entered all of your accomplishment data and then you realize, "None of my data populated."

But since you already created your CAPER, it may not be best to create a new one for that same program year in the system. So, the other neat thing about the CAPER is if data didn't populate correctly, or if data didn't populate at all because maybe you forgot to enter your data, you can manually update the data tables.

So, if you already created your CAPER, just go ahead and use that CAPER template, and manually update your goals, and accomplishments. And again, you can just go back to your Con Plan Goals and Accomplishments Report to help you identify what those accomplishments should be and how you should fill out, specifically, the CR-05 data tables.

Rob Sronce: Thanks so much, so we want to remind you that these slides will be made available in about a week or two, say, seven to ten days. In the meantime, there are a ton of resources on the HUD Exchange.

I'm going to jump to the next slide. There are quick guides to focus on specific tasks in addition to reference guides that we mentioned.

Remember that Appendix B in the back of the Con Plan Desk Guide where you can find the correct Goal Outcome Indicator combinations for the activity type, and for CDBG, the correct matrix code, and Goal Outcome Indicator pairing.

As we have mentioned, you can submit a question to Ask-A-Question and have one of our many experts respond to you. And of course, past webinars and this webinar are recorded, and are provided on the HUD Exchange. And remember to watch out for our next webinar on completing and submitting the CAPER.

And for webinars we know are in the works that are specific to CARES Act awards, both general CARES Act topics, there are a lot of TA. It will be coming out soon, so watch for that.

And so now we have a nice 15 minutes left for question and answer. So again, thanks so much for your patience, all questions should have been submitted and can still be submitted through the Q&A pod.

Remember that it may be hidden, so you'll have to select it to see it, and be able to enter questions. Some of those questions have been answered as we've gone along.

But right now, we'll start handling those, and we'll do the best we can to answer as many as we can. I think, is it Laura or Joel who was going to be throwing us the questions here?

Laura Detert: It's going to be me.

Rob Sronce: Hey Laura.

Laura Detert: Hi. So, if you're ready to start taking some questions?

Rob Sronce: Absolutely.

Laura Detert: We had a few around deleting a CAPER. Why can't they delete a CAPER out of the eCon Planning Suite? And what should they do if they already set up their CAPER way too early?

Benjamin Sturm: Well, I think this goes back to what I finished off saying. Well, I guess, what we indicated in the beginning of the webinar is that the CAPER cannot be deleted.

So, if you created, and just like a Con Plan and Action Plan, in the system once the template is created, it will remain in the system. And grantees do not have the functionality to delete.

The best cases, if you already have the CAPER created, and say it was created by accident, just continue using it. You can manually update your data tables and you can go back to your Con Plan and Goals and Accomplishments screen to look at how the data will populate.

And that would be very helpful to the CR-05 screen. And then you could go back to the other MicroStrategy report to assist with some of the other – to pool, and to get an idea for some of the other data that will need to be included in the CAPER.

Laura Detert: Okay and this might be a short answer, but does it matter if your annual Action Plan is embedded in your Con Plan in how you make your CAPER?

Benjamin Sturm: I'm sorry, Laura, can you repeat that one again?

Laura Detert: Sure. Does it matter if your Action Plan is embedded in your Consolidated Plan in how you make your CAPER?

Benjamin Sturm: If I'm understanding this question correctly, I think the question is, will my CAPER generate for the first year Action Plans since the first year Action Plan is embedded in the Consolidated Plan template? The answer to that is yes.

Laura Detert: When should people start preparing their CAPER, before the end of the program year, or after the end of the program year?

Benjamin Sturm: It can vary. If the plans need to be updated, or changes happen throughout the program year, and an amendment would be needed to reflect those changes. Whether a goal was added, or a new activity was added, or a new funding was added, those changes may need to be reflected through amendment that grantees would need to do before they create their CAPER.

They can do that before the end of their program year or after, just as long as they do it before they actually create the CAPER. As far as IDIS reporting for activity accomplishments, if it's a CDBG activity, accomplishments are reported throughout the program year.

So, they are reported as the accomplishments occur. However, for HOME, accomplishments are reported when the activity has been completed. So, it could vary on whether it's CDBG or HOME.

So that's something that maybe at the end of the program year, grantees may want to focus on reporting their IDIS accomplishments, but again, that's something that could be done before or after the end of their program year.

Laura Detert: Okay and what about activities that are open from a previous program year. How does that accomplishment data end up in their 2019 CAPER?

Benjamin Sturm: As long as the accomplishment occurred during the 2019 program year, they can report that for that program year. And then that would be reflected in their upcoming CAPER.

Laura Detert: And I'll add that's CDBG; HOME is when it's complete, but for CDBG, yeah.

Benjamin Sturm: For a prior year HOME activity, like, say a 2017 HOME activity was completed during the 2019 program year, then the accomplishment for that activity are going to be reflected in the 2019 CAPER because the completion date is 2019.

I should backtrack there. And not so much the year, as long as the date that completion is, it is within the program year. So, if your program year ended June 30, 2019, as long as that HOME activity was marked completed as, say, June 29th, then that should populate in your 2019 CAPER.

Laura Detert: Good and it sounds like we're going to be covering that a lot more in the next webinar –

Benjamin Sturm: Yes.

Laura Detert: Okay. So we've had a lot of questions about CV funds, and maybe something to ask right now is should people wait until their 2019 Action Plan is marked as completed so that all of their CV activities get included in this last 2019 CAPER?

Maybe another way of wording that is how do people include all of these CV activities from their 2019 Action Plan amendment in their 2019 CAPER?

Benjamin Sturm: I think I'm going to hold off on answering that. Because I'm not really sure yet on how CV activities and accomplishments will be integrated into the CAPER.

There is going to be more guidance from HUD about that, and a future webinar specific to CV accomplishments. So, I think just hold tight on that for now.

Laura Detert: Right.

Benjamin Sturm: More guidance will specifically come out about how the CV activities will fit in the CAPERs.

Laura Detert: Okay and what about the reports you were talking about? Are those going to work now, if the Action Plan is in review and awaiting modification status?

Benjamin Sturm: It's the Con Plan Goals and Accomplishments Report. If the Action Plan for that program year was not previously approved, meaning it wasn't marked as review completed, then no. If it's in the status of review and waiting modification, but was not previously approved by HUD, then it's not going to generate for that program year.

However, if you have an open amendment and that amendment – or you amended your approved Action Plan, and that amendment is currently review and waiting modifications, then the Con Plan Goals and Accomplishments Report will generate, but it will be tied to the previous version, and not the amended version.

Laura Detert: Somebody was asking about when we were talking about the Goal Outcome Indicators. When we talked about lining those up, are we recommending that there's just one goal per project that lines up? Does it have to be a one to one ratio between the goals, projects, activities?

Benjamin Sturm: No, you can have multiple projects associated with goals that were project associated with multiple goals. You just want to make sure that whatever goals you associated to your project, that you're not using different Goal Outcome Indicators.

So, if you have two goals associated to your project, just make sure you look at those goals, and that you're using the same Goal Outcome Indicators for the project.

And you may not use all the Goal Outcome Indicators. Not every project is going to use the same Goal Outcome Indicators that were selected for a goal.

A goal may have four or five Goal Outcome Indicators, a specific project may only be meeting two of them.

But you just want to make sure that the Goal Outcome Indicators you did select were also selected for those associated goals. You don't want to select a Goal Outcome Indicator that wasn't initially selected on those associated goals.

Laura Detert: Okay just a couple on some logistics and deadlines. So, we're going to be doing another webinar around the end of September, and some people are saying, well their CAPER is due in August.

What should they do to get some more information if it happens before our next webinar?

Rob Sronce: Because your CAPER is due 180 days – well this year, just the 2019 is due 180 days after the end of your program year. We do have similar information, past years.

We do this webinar once a year so you can look at those resources. There are some quick guides that can be helpful. I don't know, Ben, you might be able to talk about those.

But also, there has been a question about, is this something I need to have for this 180-day? And the answer is no. if you look at the CDBG-CV COVID-19 Fact Sheet. It's a question and answer. Question 22 on pages 7, that says that grantees can or do have 180 days from the end of the year, so that's published guidance.

HUD did, they issued that waiver, and they've confirmed that. They have a link to it there, the actual waiver that was published. But that is something that is available to grantees.

Now, however, please do communicate with your HUD rep about when they should expect to see it. That's helpful and you should. I'm always going to encourage you to communicate robustly with your HUD rep.

And Ben, do you want to speak to the resources that are out there that may supplement the past webinars?

Benjamin Sturm: Yeah so, I would say certainly check out some, on HUD Exchange on the Consolidated Plan web page, there is the Desk Guide. That will be helpful for grantees doing the CAPER as well as Quick Guides on how to do amendments, and Quick Guides on how to do the CAPER.

There are also past webinars from, specifically last summer, a recorded webinar that would be helpful for looking at reports and CAPER screens.

And you can always submit an Ask-A-Question through HUD Exchange, too.

So, if something is not looking right in your CAPER, you can go ahead to Ask-A-Question and someone from the question pool will reach out and help you with your questions.

Laura Detert: Well Rob, we are at the top of the hour, would you like any more questions about this or should we let it go, and tell people –?

Rob Sronce: I think we can take a few more.

Laura Detert: Okay. Ones that I think may be just review is if there's a HOME Consortium that needs to complete a CAPER, is the CAPER going to be specific for each community?

And kind of, a side question is, if the lead grantee, or any of the grantees want to submit their CAPER earlier than the others, can they stagger when they turn in the CAPER?

Benjamin Sturm: So, yes, each entitlement community within the consortium would need to do their CAPER. And I think the second part of that question was should goals overlap, or would each CAPER be specific in community?

So, with participating members in a HOME Consortium, you have your own, when the lead entity creates the Action Plan, the system also creates a plan for each participating member. And in those plans, you are selecting your – if it's the Con Plan, you're putting in your strategic goals.

If it's the Annual Action Plan, you have your annual goals and your projects. And your CAPER is reflective of those goals and those projects that you have in your individual Action Plan.

And the CAPER is reflective of that, so the CAPER for participating members should be reflective of the accomplishments that you're doing. Say you're also receiving CDBG, it's not going to be reflective of what the lead entity is doing as well.

Laura Detert: Okay and the part about submitting it at different times, can the lead entity submit their CAPER first, and then wait for the other jurisdictions to submit theirs?

Benjamin Sturm: Yes, unlike the Con Plan and Action Plan, the CAPERs are not linked, so lead entities and participating members can submit their own CAPERs at any time.

Laura Detert: Okay that sounds like for HOME Consortium you are on your own to both create the CAPER and then submit the CAPER. Does that sound right?

Benjamin Sturm: That is correct.

Laura Detert: Okay let's see. There's one about draws, and this might be a little bit more data heavy, but it sounds like you want to be done with financial draws for setting up the financials for a CAPER. But when should they be setting up their last draw request to make sure that ends up in the CAPER?

Rob Sronce: So yeah, so they're asking about the prior year flag.

Laura Detert: No, I'm asking about the finances, about doing, if they would like to make a draw on an open activity, and they want that to be included as the spending for that program year. Can they do it up until the last day? Do they have to do it a month early? How do you make sure that those are included?

Rob Sronce: Yes, they can do it up through the end of their program year. And if it's within ten days of the end or the first 98 after the next program year, they can use the prior year flag in CDBG to flag that as a prior year cost.

Laura Detert: And if anybody has had problems with prior year flags, that's not on the Consolidated Plan side –?

Rob Sronce: No.

Laura Detert: That's on the IDIS Ask-A-Question so any problems with draws and the finance side on activities, they'd want to go to the IDIS to Ask-A-Question to make sure that's settled.

Rob Sronce: If you get past the point where you can fix it or if you discover issues later in the PR26 or with CDBG, which focuses quite a bit on the expenditure caps that are within a program year, you can make adjustments in your PR26, and you have to support those adjustments.

But that also can be made that way, that's not desirable, you really want to flag those late expenses. And it's really relevant to CDBG because CDBG has those caps that are based on expenditures within the program year as opposed to the origin year of the grant.

Although, remember – I'm sorry – I'm getting into IDIS. There are two caps for your planning in admin. There's the program year cap, and the grant, the origin year cap, so.

Laura Detert: And if anybody is confused about this and thinks, maybe, that they have done it wrong, the IDIS Ask-A-Question would be where to send that.

Rob Sronce: Okay we're at five minutes after. And please, just feel free to answer these questions, a lot of these are pretty frequent questions we get in Ask-A-

Question. So, we have questions at the ready or answers at the ready of your questions.

So, I think we'll go ahead and wrap up today. Thanks so much for attending. We appreciate your patience, especially as we've gone over a little bit to accommodate a few more questions.

Again, slides and recording transcript will be posted on the HUD Exchange. That is going to be about seven to ten days, usually it takes us to turn those around.

I want to thank again our presenter, Ben Sturm, and to Laura Detert, and Joel Warren for the slides; and for managing the question queue, Niki Deininger and TJ Winfield at the controls, and the registration also, Lauren Boyd, and the entire team at Cloudburst that has helped put this together.

Thanks also to the IDIS team at DMI, keeping it up and running every day, and also thanks for all of the staff at HUD HQ working from home around the clock these days. So again, thanks for joining us, good afternoon, keep up the work, and please be well.

[END OF TAPE]